

Portsmouth/Paducah Project Office

U.S. Department of Energy



**QUALITY ASSURANCE
SURVEILLANCE PLAN**

Portsmouth Infrastructure Support Services

Solicitation No. DE-SOL-0006421

**U.S. Department of Energy
Environmental Management Consolidated Business Center
250 East Fifth Street, Suite 500
Cincinnati, OH 45202**

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ACRONYMS

ANSI	American National Standards Institute
AQL	Acceptable Quality Level
CER	Contractor Evaluation Report
CLIN	Contract Line Item Number
CMMS	Computerized Maintenance Management System
CO	Contracting Officer
COR	Contracting Officer Representative
DOE	Department of Energy
EIC	Environmental Information Center
EIS	Electronic Information System
ELIN	Exhibit Line Item Number
ERMS	Electronic Records Management System
FOIA	Freedom of Information Act
GSA	General Services Administration
IT	Information Technology
NARA	National Archives and Records Administration
PA	Privacy Act
PORTS	Portsmouth Gaseous Diffusion Plant
PRS	Performance Required Summary
PWS	Performance Work Standard
QAE	Quality Assurance Evaluators
QAP	Quality Assurance Plan
QASP	Quality Assurance Surveillance Plan
RMFO	Records Management Field Officer
TYSP	Ten Year Site Plan
WSHP	Worker Safety and Health Program

SECTION 1: INTRODUCTION

1.1 Background

Section C of DE-SOL-0006421, *Portsmouth Infrastructure Support Services*, is the Performance Work Statement (PWS) which specifies what work is to be performed by the Infrastructure Contractor. Appendix A, Performance Requirements Summary (PRS) specifies work performance standards for the nineteen (19) identified contract line item numbers (CLINs), exhibit line item numbers (ELINs), and functional areas of the PWS. Other work required under this Contract may be monitored and other Contractual remedies taken by the Government as needed.

1.2 Purpose

This Quality Assurance Surveillance Plan (QASP) describes the procedures that the U.S. Department of Energy (DOE) Quality Assurance Evaluators (QAEs) will use to monitor and evaluate the Contractor's performance. As the Contract is considered a performance-based approach to the required tasks in the PRS Appendix A, it is important to note DOE's primary concern is with the product and service results provided by the Contractor and not with the procedures used to produce them. Therefore, the QASP focuses on examining the Contractor's product and service results and not the processes used to produce them. It is intended that the QASP be a tool to guide the QAEs in assessing Contractor performance. In some cases specific metrics are used to measure Contractor performance; in other cases subjective judgment and evaluation by DOE personnel will be the determining criteria. This plan describes the methodology utilized to conduct both quantitative and qualitative evaluation of Contractor performance under the Contract.

1.3 QASP Relation to the Contract

DOE will retain the right to change the surveillance methods and Quality Assurance (QA) procedures, or to increase or decrease the degree of surveillance efforts at any time necessary to assure contract compliance. A copy of the QASP will be provided to the Contractor to enable the Contractor to enhance its Quality Program and ensure contract scope is performed in accordance with its Quality Assurance Plan (QAP) and its associated Quality Implementation Plan (QIP).

1.4 QASP Relation to the QAP

The Contractor's QAP [Section C.2.2.5 *Quality Assurance*] is a required element that will be submitted to DOE following notice to proceed (NTP). In defining its QAP, the Contractor is required to prepare an organizational-specific QIP describing how the requirements of the QAP are implemented and flowed down to lower tier organizations. The implementation of QAP requirements shall be in accordance with the applicable QIP. DOE expects the implementation of the Contractor's QAP requirements, as transcribed specifically in the QIP, shall be sufficient in meeting the PRS as presented in Appendix A. While the QAP represents the way in which the Contractor will ensure its quality and timeliness of services, as defined in the PWS, the QASP represents the way in which DOE will evaluate the Contractor's performance. The Contractor's QAP and the QASP should be complementary programs that ensure successful Contractor performance.

1.5 Revisions to the QASP

The QASP is a tool for use in Government administration of the Contract and remains subject to revision at any time by the Government throughout the Contract performance period. Revisions to this surveillance plan are the responsibility of the Contracting Officer (CO) or designee. Changes may be made unilaterally at the discretion of the Government.

As the performance period progresses, the levels of surveillance may be altered for service areas in cases where performance is either consistently excellent or consistently unsatisfactory. If observations reveal consistently satisfactory performance, then the amount of surveillance may be reduced. If observations reveal consistent deficiencies, increased surveillance may be implemented.

SECTION 2: PERFORMANCE DESCRIPTION

Performance of the Contractor will be monitored through various surveillance methods described in Section 4: *Performing Quality Assurance*. Performance data gathered will be evaluated to assess Contractor performance against contract requirements.

2.1 Performance Standards and Acceptable Quality Levels

For selected activities in the PWS, the PRS provides a performance standard and an acceptable quality level (AQL). A performance standard is the expected level of Contractor performance. An AQL defines the level of performance that is satisfactory. Depending on the service evaluated and the evaluation method selected, performance standards and AQLs may be stated as a number of occurrences or as a percentage. Performance standards and AQLs for random sampling and 100 percent inspection are generally stated as percentages. For periodic inspections, performance standards may be stated as either percentages, or as absolute numbers.

The Contract requires the Contractor to perform all work as specified. Any inaccuracies or omissions in services or products are referred to as “defects” on the part of the Contractor. The Contractor shall be held responsible for all identified defects, and DOE may require a contractor to re-perform the work at no cost to the Government. The AQLs take into account that in some instances an allowable level of deficiency (deviation) is possible while overall performance continues to meet DOE’s desired level of service.

2.1.1 Allowable Deviation

The AQLs define the level or number of performance deficiencies the Contractor is permitted to reach under this Contract. AQLs take into account the difference between an occasional defect and a gross number of defects. AQLs can be expressed as a percentage of or as an absolute number (e.g., three per month). There may be instances where 100 percent compliance is required, and no deviation is acceptable (e.g., where safety is involved).

2.1.2 Substantially Complete

In some cases, service outputs are evaluated using subjective values (e.g., satisfactory, marginal, unsatisfactory). The criteria for acceptable performance and for defects must be defined for these service outputs. The concept of “substantially complete” should be the basis for inspections based on subjective scales.

Work is considered “substantially complete” when there has been no significant departure from the terms of the Contract and no omission of essential work. In addition, the Contractor has performed the work required to the best of its ability and the only variance consists of minor omissions or deficiencies.

2.2 Non-performance

Non-performance occurs when the Contractor’s performance does not meet the AQL for a given requirement. Requirements may contain multiple performance elements; therefore, deficiencies may occur in one or more aspects of performance (e.g., timeliness, accuracy, completeness, etc.) or subject areas of effort.

When surveillance indicates that the Contractor's service output is not in compliance with the Contract requirements, the QAE must determine whether the Contractor or the Government caused the deficiency. If the cause of the defect rests with the Government, corrective action must be taken through Government channels. If the cause of the defect is due to action or inaction by the Contractor, the Contractor is responsible for correction of the problem at no additional expense to the Government.

2.2.1 Documentation

All observed work activities shall be documented, both acceptable performance and non-performance. Thorough documentation of unperformed or poorly performed work is essential for tracking Contractor performance throughout the period of performance. The QAEs will document deficient work by compiling facts describing the inspection methods and results. A sample documentation reporting form is provided in Appendix B: *Contract Evaluation Report*. The Contracting Officer's Representative (COR) and QAEs will evaluate and develop documentation to substantiate nonconformance with the Contract. The COR will decide whether to elevate the problem to the CO for corrective action. The documentation, together with any recommendations, will be forwarded to the CO.

2.2.2 Remedial Actions

The Federal Acquisition Regulation (FAR) allows for remedies in the event that the Contractor fails to perform the required services. The Government may require the Contractor to correct services that failed to meet contract requirements. If the Contractor fails to proceed with reasonable promptness to perform the required corrective action, the Government may (i) by contract or otherwise, perform the correction, charge to the Contractor any increased cost, or deduct such increased cost from any amounts paid or due under the Contract; or (ii) terminate the Contract for default. The CO will determine the penalty for nonconformance based upon his or her judgment and the severity of the nonconformance.

SECTION 3: ROLES AND RESPONSIBILITIES

The purpose of QA is to ensure that the Contractor is meeting its contractual obligation to DOE. The roles and responsibilities of the stakeholders involved in QA are described below.

3.1 Contractor Responsibility

The Contractor is responsible for delivering products or services in accordance with the Contract. The Contractor is responsible for implementing its QAP, which is incorporated in the Contract. The QAP describes the Contractor's methods for ensuring all products and services provided under the Contract meet established performance standards and AQLs. The Contractor is responsible for producing, maintaining, and providing for audit, quality assurance/control records and reports and all records associated with the investigation and resolution of customer complaints. The Contractor should appoint a single quality assurance point-of-contact to act as a central recipient of communication with the Government.

3.2 Government Responsibility

This section of the QASP briefly defines the duties and responsibilities of key Government personnel involved in contract administration and quality assurance. The key personnel who will be responsible for QASP input are the CO, the COR, the QAEs, and the Contractor's customers. QAEs will include federal employee subject matter experts in relevant sections of the contract, for example, safety, security and IT services. Personnel from DOE's technical support contractor also support the QAEs.

3.2.1 Contracting Officer

The CO has the authority to administer the Contract. The CO may delegate many of the day-to-day contract administration duties to the COR and QAEs. However, certain contractual actions such as negotiation and issuance of Contract modifications, resolution of Contractor claims and disputes, issuance of cure notices (notification that unless unacceptable performance is corrected, the Government may terminate the Contract for default in accordance with FAR 49.607), issuance of show-cause letters (following a cure notice, requesting facts bearing on the case), termination of the Contract, and Contract close-out functions are retained by the CO. Administrative actions such as invoice approval and issuance of Contract Evaluation Reports (CER) may be, and normally are, delegated by the CO to the COR. All communication regarding questions or issues related to the QASP will be directed to the CO or the COR. The CO shall approve any revision to the QASP processes or standards.

3.2.2 Contracting Officer Representative

The COR is a federal employee and is designated by name and/or position to act as a liaison between the Government and the Contractor on all issues pertinent to the daily operation of the Contract. The COR represents the CO in the COR functions and therefore is the Contractor's initial point-of-contact with the Government. In turn, the COR may delegate some of his/her responsibilities, such as coordination of the QAEs, to another individual in the organization in order to ensure that the QA function is properly executed. If modifications to the Contract are necessary, the COR will assist the CO in preparing and negotiating the modifications. If there are problems with Contractor performance, the COR will inform the Contractor of the problems and recommend to the CO that adverse contractual actions are appropriate (e.g., cure notice) if the Contractor fails to correct the problem. Also, the COR must refer differences of contract interpretation to the CO.

3.2.3 Quality Assurance Evaluators

The QAEs play a key role in contract administration. They serve as the on-site representative of the CO and the COR. The QAEs perform the actual contract surveillance and report to the COR. Some of the key contract administration duties of QAEs include, but are not limited to, the following:

- Performing surveillance as required by this QASP, and making recommendations to the COR for issuance of Contract Discrepancy Reports or letters of commendation;
- Making recommendations to the COR for the acceptance or rejection of completed work and for administrative actions based on unsatisfactory work or non-performed work;
- Assisting the COR in identifying necessary contract modifications;
- Making recommendations to the COR for changes to the QASP; and
- Assisting the COR in preparing reports of Contractor performance and cost.

The QAEs have only the authority delegated to them in writing by the COR and/or CO. They have no authority to direct or to allow the Contractor to deviate from contract requirements. The QAEs also have no authority to direct or interfere with the methods of performance by the Contractor or to issue directions to any Contractor personnel. These actions are reserved for the CO or the COR.

3.2.4 Customers

Customers are the various organizations supported by the Contractor. Customers may be requested to assist the QAEs and COR by providing information on Contractor performance through a Customer Feedback Program. The information gained from the Customer Feedback Program may be used in conjunction with other methods of observation to rate the performance of the Contractor.

SECTION 4: PERFORMING QUALITY ASSURANCE

4.1 Surveillance Methods

The surveillance methods used in the QA process are the tools the Government uses to monitor the Contractor's products and services. The best means of determining whether the Contractor has met all contract requirements is to inspect the Contractor's service products and analyze the results. Further, documented inspection results are an effective tool in contract administration. Inspections either confirm the Contractor's successful achievement of all performance requirements or highlight areas where defects exist and improvements are necessary.

The surveillance methods described below include: 100 percent inspection, periodic inspection, sampling, and customer feedback. The number of inspections conducted may be reduced in those instances where the Contractor has established a good performance record. In cases of poor performance, DOE may increase the level of surveillance and focus on known problem areas. In either case, the reasons for the change in surveillance will be documented. Corrective actions needed as a result of surveillance shall be documented. All safety issues identified shall be given priority and be coordinated with the COR.

The AQL when expressed as a percentage represents the percentage of inspected items that must be acceptable to meet the AQL. It does not represent the percentage of items inspected. The surveillance method describes how the AQL will be evaluated (i.e., 100%, periodic, etc.). The deduction represents the monetary deduction for not meeting the AQL, either in a percentage of the line item cost or a flat deduction. The surveillance frequency represents how often the surveillance will be initially conducted and how often the deduction may initially be applied based on contractor performance. The AQLs may be stated as percentages, absolute numbers, or descriptors such excellent, satisfactory, marginal, unsatisfactory (see definitions below). Most often stated in terms of the number of defects detected per time period (e.g., three times per month).

4.1.1 100 Percent Inspection

The 100 percent inspection method requires complete inspection of all submittals, requirements, or activities for a contract requirement and will be used for requirements that are especially critical or where there is some reason for suspecting that the performance standard or AQL is not being met and therefore, should be more closely monitored. Evaluation schedules for 100 percent inspections will be prepared on a time determined basis – usually monthly but may be adjusted by the Government depending on the Contractor activity and scheduling of inspections. Programmatic documents, plans, and related documents will be reviewed and assessed with this methodology.

4.1.2 Periodic Inspection

Periodic inspection provides a systematic way of looking at service outputs and forming conclusions about the Contractor's level of performance in accordance with a planned schedule of surveillance. Evaluation by periodic inspection is designed to inspect some, but not all of the products and services being monitored.

4.1.2.1 Application

Specific contract requirements that are to be monitored are selected for evaluation prior to their scheduled accomplishment. Periodic inspection differs from random sampling in the way in which samples are selected – periodic inspection sample selection is based on some subjective rationale and sample sizes will vary. With this type of evaluation, the QAEs are able to direct efforts to those areas where inspections are most needed, and the Contractor knows that those areas are more likely to be monitored than others.

4.1.2.2 Performance Standards and AQLs

There is no specific relationship between sample size and performance standard/AQL. However, when the AQL is expressed as a percentage, it is recommended that the maximum sample size be chosen such that one defect does not exceed the AQL. This requirement does not apply to AQLs that require 100% compliance.

4.1.2.3 Evaluation Procedures

Evaluation procedures will vary according the type of input being measured, the frequency of measurement, and the area of focus. It is highly encouraged that during walk-through evaluations, which will typically occur on a monthly basis that a contractor representative be present along with the government QAE. Past experience has shown this is the best practice for addressing any shortcomings.

The QAEs will use periodic inspection evaluation sheets and follow a detailed inspection schedule. Schedules may be developed monthly to coincide with the Contractor's monthly schedule of work, and regularly updated after receiving the Contractor's definitive weekly schedule. Observed defects for services monitored by periodic inspection will be totaled at the end of each month. For each service, the total number of defects will be compared to the performance standard and AQL.

4.1.3 Random Sampling

Random sampling evaluation is a quality assurance method designed to evaluate some, but not all, of a specific contract requirement. This method estimates the Contractor's overall level of performance for a given contract requirement based on a representative sample drawn from a population. Random sampling is most often used when the number of occurrences of a service is very high.

4.1.3.1 Application

The random sampling procedures should consider the AQL (maximum allowable deviation from the performance standard), the level (intensity) of the evaluation effort, and the population size. There are two ways of applying random sampling for QA surveillance. The first is used only for performance evaluation and allows deductions to be taken only for observed defects; the second is random sampling for performance evaluation and deduction projection (also called extrapolated deductions), which allows deductions against the whole population based on the inspection of the sample. To obtain valid results, random sampling procedures must be followed precisely.

4.1.3.2 Performance Standards and AQLs

Performance standards and AQLs may be specified as percentages or absolute numbers.

4.1.3.3 Evaluation Procedures

Random Sampling is based solely on a statistical analysis whereby a conclusion is drawn about a population based on a randomly selected sample of that population. For the conclusion to be valid, the sample selected must be representative of the population. A truly representative sample can be achieved by ensuring that the sample is selected randomly and the size of the sample is sufficient. A conclusion about Contractor performance can then be made based on the representative sample drawn.

4.1.4 Customer Feedback

Verified and validated customer feedback is a quality assurance method based on customer and Contractor interaction. Customers continually receive the outputs of Contractor performance and are in a position to evaluate the Contractor on a recurring basis. Because customers have a clear stake in the quality of Contractor services they are a valuable resource for the QAEs and COR.

4.1.4.1 Application

Customers are made aware of contract requirements and monitor the services provided by the Contractor, both positive and negative. Where there is a case of poor performance or non-performance, customers notify the QAEs/COR. The QAEs then investigate the report and, if found to be valid, document their findings. The numbers of complaints and resulting inspections depend upon customer awareness and response. If the complaint is valid and caused by poor performance or non-performance by the Contractor, the Contractor must take appropriate corrective action. A valid complaint is one in which the QAE confirms that poor performance or non-performance violates contract requirements.

4.1.4.2 Customer Feedback Process

Upon contract award, the COR or CO will send correspondence to all or selected customer points-of-contact. These letters will inform them of the need for their active participation in the overall Quality Assurance Surveillance Program. The COR will also provide a Customer Feedback Record (sample found in Appendix C) for the customer to use to either document performance problems or identify when superior services are received.

The QAEs will validate the Customer Feedback Records submitted. It is primarily the responsibility of the Contractor to investigate each complaint to determine the problem. While QAEs can also investigate customer complaints, the responsibility for initial review shall remain with the Contractor. At the discretion of the Government, the QAE will investigate problems from customer groups and complaints involving major problems with services being provided.

The Contractor shall take action when a Customer Feedback Record is received. If a valid complaint exists, the Contractor shall re-perform the product or service. The Contractor may use the complaint as an indicator that the Quality Control Program needs improvement. Corrective actions shall be implemented to prevent the recurrence of similar problems in the future or detect and fix such problems before a product or service is delivered to a customer. If the customer complaint is found to be invalid, the COR shall educate the customer regarding contract requirements as they pertain to the customer's expectations.

4.1.5 Survey or Assessment

The survey or assessment methodology involves an extensive and comprehensive review of the programmatic and procedural compliance to DOE Orders and other associated requirements of the contractor in a functional area. This method will be utilized particularly for Safeguards and Security scope, although not exclusively. The assessment will be conducted by an interdisciplinary team of independent contractor and federal subject matter experts. The assessment team will evaluate programmatic documents, plans, implementing procedures, and contractor records in order to assess the effectiveness and compliance of the program.

4.1.5.1 Application

Assessments will include a combination of other surveillance methods such as inspection, random sampling, and may include customer feedback. Assessments will usually be conducted on an annual basis and will result in qualitative rating, such as satisfactory. Any deficiencies will be reported and resolved through a corrective action process.

4.1.5.2 Performance Standard

The assessment will evaluate contractor performance against contract requirements and referenced DOE Orders, laws, and other requirements.

4.2 Analysis and Results

When the inspections and customer feedback record validations have been completed, the QAEs will perform an analysis of the Contractor's performance. The analysis may also be performed by independent/oversight groups with subject matter knowledge in the respective field. The purpose of the analysis is to ensure that DOE is receiving high-quality products and services from the Contractor. QAEs will review the results of the Contractor rating, and characterize the Contractor's overall performance. Analysis of all types of contract monitoring will result in one of the following outcomes: satisfactory performance, marginal performance, or unsatisfactory performance.

The surveillance frequency listed in the PRS (see Appendix A) represents the frequency the surveillance may, but not necessarily, be performed. Surveillance frequency may be increased or decreased at the discretion of the Government with, or without, notice to the Contractor.

4.2.1 Excellent Performance

When the Contractors performance is excellent, the performance meets all acceptable quality levels and deficiencies are correctable without adverse impact to mission accomplishment or customer activities. Contractor exceeds performance standards in several (at least 2) major areas. No weaknesses are identified.

4.2.2 Satisfactory Performance

When the Contractors performance is satisfactory, the performance meets acceptable quality levels and deficiencies are correctable without adverse impact to mission accomplishment or customer activities. Strengths and weaknesses in performance are on balance where any deficiencies are identified and corrected immediately by the Contractor.

4.2.3 Marginal Performance

Performance meets some but does not meet all contractual requirements. The contractual performance of the task and sub-task being assessed reflect a potential serious problem for which the contractor has not yet identified corrective actions. The Contractor's proposed actions appear only marginally effective or were not fully implemented.

4.2.4 Unsatisfactory Performance

When the performance for any service does not meet the AQL, the Contractor's performance is unsatisfactory, and is therefore unacceptable. The following responses are available to the COR regarding that task/subtask:

- The CO and/or COR meet with the Contractor to discuss discrepancies, trends, complaints, and intended corrective measures;
- The level of surveillance is increased until the Contractor demonstrates acceptable performance over a period of time;
- The COR issues a Contract Discrepancy Report for each service that does not meet its AQL;
- Should deficiencies be significant and affect multiple requirements, CO action such as a 'Cure' notice may be appropriate.

SECTION 5: REFERENCES

DE-SOL-0006421, *Portsmouth Infrastructure Support Services*

APPENDIX A: PERFORMANCE REQUIREMENTS SUMMARY

The performance standards and AQLs in the nineteen (19) tables below will be used to measure the performance of the Contractor. The tables are applicable to CLINs, ELINs and the functional areas of the PWS:

1. CLIN 0001; C.3.1, Contract Transition
2. Miscellaneous support and reporting applicable to numerous ELINs
3. ELIN *A101; C.3.3.2, Telecommunications
4. ELIN *A102; C.3.3.3, IT Support and Services
5. ELIN *A103; C.3.4.1, Property Management Services
6. ELIN *A104; C.3.4.3, Maintenance of Buildings, Structures, Installed Equipment, and Furnishings
7. ELIN *A105; C.3.4.4, Paved, Gravel and Earth Roads, and Yards
8. ELIN *A106; C.3.4.5, Grounds - Erosion, Storm Damage Repair
9. ELIN *A107; C.3.5.1, Custodial Services
10. ELIN *A108; C.3.5.2, Grounds Maintenance
11. ELIN *A109; C.3.5.3, Snow and Ice Prevention/Removal
12. ELIN *A110; C.3.5.4, Pest Control Services
13. ELIN *A111; C.3.6, Records Management and Document Control
14. ELIN *A112; C.3.7, Mail Services, Shipping and Receiving
15. ELIN *A113; C.3.8, Environmental Information Center Operations
16. ELIN *A114; C.3.9, Training Services
17. ELIN *A201; C.3.2, Safeguards and Security
18. ELIN *A202; C.3.3.1, Cyber Security
19. CLIN 0002; C.3.11, Contract Closeout

*The ELIN will vary depending on which Contract period the Contractor is currently in. For example, A101 through A202 is for the base period of the Contract. For any subsequent option period, the ELIN for that Contract period will be used.

QAEs will monitor Contractor performance using the guidelines in Section 4 above, together with the PRS tables below, and the PWS sections referred to in the PRS. The PRS includes performance standards and AQLs for selected PWS sections that are intended to be representative of the entire PWS. In the process of monitoring Contractor performance, the QAEs and the COR may improve the PRS by developing changes to the standards and AQLs or by developing standards and AQLs for different PWS sections. Such changes to the PRS will be documented and shared with the Contractor.

These measurements will also apply to all provisions in the Contract. Contractor performance results may be posted to an internal DOE website. The Contractor shall be required to comply with all terms and provisions of the Contract, including the PWS and Technical Exhibits (TEs).

Per the Fixed Price Inspection of Services clause (FAR 52.246-4), the Government may reduce the contract price to reflect the reduced value of the services performed. The specific deductions identified within Appendix A reflect the intended impact to Contractor payments, but additional deductions may be taken from Contractor payments if warranted by significant defects in services provided.

The tables in Appendix A cover firm-fixed-price work included under Section C.3.0 of the PWS. Additional deliverables are included under Section C.2.0 of the PWS, Management and Administration. In accordance with the Fixed Price Inspection of Services Clause, the Government may also reduce the Contract price to reflect the reduced value of services performed for deliverables under Section C.2.0, and the contract price reduction will be commensurate with the reduced value of services.

In addition, the tables in Appendix A include a number of deliverables and official submittals, including Contractor programs, plans, policies and procedures. All required deliverables must be sufficiently complete, accurate, concise, and satisfactory. This specifically includes (but is not limited to) deliverables requiring approval by DOE. Document submittals included in the following tables are considered final versions unless otherwise indicated.

The Minimum Acceptable Quality Levels (AQLs) included within Appendix A are based on the surveillance frequency, unless otherwise noted in the AQL .

1. Contract Transition

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Contract Transition**. Surveillances are anticipated to be conducted by QAEs on a scheduled basis. If the Performance Standard is not applicable at the time of surveillance, the inspection report will note “N/A” with QAE explanation.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.2.1	For DOE approval, the Contractor shall submit a Deliverable Schedule within 15 calendar days after NTP.	For documents requiring DOE approval, the schedule shall allow for the submission of a draft document to DOE for review and comment, and a final document for DOE approval. For documents requiring approval from an outside (i.e., non-DOE) organization, the schedule shall allow for the submission of a draft document for DOE review and comment, the submission of a draft document addressing DOE comments to the outside organization for review and comment, and a final document for approval by the outside organization.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
**C.2.2.1	For DOE approval, the Contractor shall submit a Worker Safety and Health Program (WSHP) within 40 calendar days after NTP.	The WSHP is compliant with the requirements of 10 CFR § 851.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.2.2.2	For DOE approval, the Contractor shall submit an Integrated Safety Management System Description within 40 calendar days after NTP.	The Integrated Safety Management System is compliant with the requirements of DEAR 970.5223-1 and DOE G 450.4-1C.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.2.2.3	For DOE approval, the Contractor shall submit the written Radiation Protection Program (RPP) documentation within 40 calendar days after NTP	The RPP documentation is compliant with the requirements of the D&D Contractor’s approved RPP, 10 CFR § 835 and DOE O 458.1.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.2.2.4	For DOE approval, the Contractor shall submit a Building/Project Emergency Contingency Plan within 40 calendar days after NTP.	The Contractor Assurance System is compliant with the requirements of DOE O 151.1C.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s))	\$500.00 for each day submittal is past due date.	Review of Submittal
C.2.2.4	For DOE approval, the Contractor shall submit project specific Emergency Plan Implementing within 40 calendar days after NTP.	The Emergency Plan Implementing Procedures are compliant with the requirements of DOE O 151.1C.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.2.2.4	For DOE approval, the Contractor shall submit Hazard Survey for Infrastructure facilities/activities within 40 calendar days after NTP.	The Hazard Survey(s) for Infrastructure facilities/activities is/are compliant with the requirements of DOE O 151.1C.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.2.2.4	For DOE approval, the Contractor shall submit an Emergency Planning Hazard Assessment within 40	The Emergency Planning Hazard Assessment for Infrastructure	Submittal contains 100% of requested	Inspection, Review of Submittal(s))	\$500.00 for each day submittal is	Review of Submittal

	calendar days after NTP.	facilities/activities is/are compliant with the requirements of DOE O 151.1C.	information.		past due date.	
C.2.2.4	The Contractor shall work with the D&D contractor to develop and update, as needed, facility –specific Emergency Action Levels applicable for the spectrum of potential Operational Emergencies for its’ operations.	The Emergency Planning Hazard Assessment for Infrastructure facilities/activities is/are compliant with the requirements of DOE O 151.1C.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.2.2.5	For DOE approval, the Contractor shall submit a documented Quality Assurance Program within 30 calendar days after NTP.	The Quality Assurance Program is compliant with the requirements EM-QA-001.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.2.2.5	For DOE approval, the Contractor shall submit a Quality Assurance Implementation Plan within 30 calendar days after NTP.	The Quality Assurance Implementation Plan describes how the requirements of the QAP are flowed down to lower tier organizations.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.2.2.6	For DOE approval, the Contractor shall submit a Contractor Assurance System within 40 calendar days after NTP.	The Contractor Assurance System is compliant with the requirements of DOE O 226.1B.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.2.2.10	For DOE approval, the Contractor shall submit Waste Management Plan within 40 calendar days after NTP.	The Waste Management Plan is compliant with the requirements of DOE O 435.1.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.2.2.10	For DOE approval, the Contractor shall submit Pollution Prevention Plan within 40 calendar days after NTP.	The Pollution Prevention Plan is compliant with the requirements of Executive Order 13423 and Executive Order 13514.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.3.1	Key personnel identified in Section H shall be onsite during the transition period.	Key personnel identified are onsite during transition period.	Key personnel onsite <u>no less than</u> 90% of working business days.	Inspection, Review of Submittal(s)	\$500.00 for each failure above the AQL, each day.	Monthly until end of Transition
C.3.1	For DOE approval, the Contractor shall submit a Transition Plan within 15 calendar days after NTP.	The Transition Plan includes a description of all transition activities necessary to execute all sections of the Contract, a listing of involved organizations, and a schedule.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.3.1	The Contractor shall provide weekly Transition Status Reports to DOE until Contract Transition is completed.	The weekly Transition Status Report includes all activities necessary to execute a successful transition.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Monthly until end of Transition
C.3.1	The Contractor shall complete all transition activities resulting in a successful transition within contractual time frames.	All activities complete resulting in successful transition 60 days following NTP.	Successful transition completed 60 days after NTP issued to Contractor.	Inspection, Review of Submittal(s)	\$1,000.00 for each <u>calendar</u> day completion of transition <u>is delayed exceeds 60 days.</u>	End of planned Transition
C.3.2.1.2	For DOE approval, the Contractor shall submit a Site Security Plan within 45 calendar days after NTP.	The Site Security Plan is compliant with the requirements of DOE O 470.4B.	Deliverable provided per the Deliverable Schedule and is technically accurate	Inspection, Review of Submittal(s)	\$500.00 for each day deliverable is past due date or not technically	Review of Submittal

			and complete.		accurate and complete.	
C.3.3.1.3	For DOE approval, the Contractor shall submit a System Security Plan within 45 calendar days after NTP.	The System Security Plan is compliant with the requirements of DOE O 205.1B.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.3.5.1.1	For DOE approval, the Contractor shall submit a Space Cleaning Plan within 60 calendar days after NTP.	The Space Cleaning Plan incorporates appropriate sections of Attachment J-8.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.3.5.2.3	For DOE approval, the Contractor shall submit a Mowing Plan within 60 calendar days after NTP.	The Mowing Plan includes a mowing map and annual schedule.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.3.5.3.3	For DOE approval, the Contractor shall submit Snow and Ice Removal Plan within 60 calendar days after NTP.	The Snow and Ice Removal Plan includes all required information.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.3.9.2	For DOE approval, the Contractor shall submit training course content and training schedule within 60 calendar days after NTP.	The submittal includes all training course content and schedule.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

** **EXAMPLE:** (This example also applies to other related sections of the document as applicable): The requirement for submittal of a Worker Safety and Health Program in Section C.2.2.1 will be evaluated as follows: The submittal shall be submitted to the government within 40 days of NTP and shall be compliant with the requirements of 10 CFR § 851. If these requirements are not met, then a \$500 deduction for each day the submittal is past its due date shall be applied to the Contractor payment. The period of DOE review of the submittal will not be counted in calculation of the deduction. The calculated deduction amount will start when DOE has notified the Contractor with the submittal is unsatisfactory and end upon resubmittal.

2. Miscellaneous Support and Reporting

The following table provides the performance standards, AQLs and surveillance methods pertaining to: **Miscellaneous Support and Reporting**. Surveillances are anticipated to be conducted by QAEs on a scheduled basis. If the Performance Standard is not applicable at the time of surveillance, the inspection report will note “N/A” with QAE explanation.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.2.2	The Contractor shall actively participate in site wide planning and programmatic committees, as applicable to the scope of the Contract. The Contractor will participate and support the site’s standing groups/committees addressing, for example: Safety, Electrical, Traffic, Land-Use, and Sustainability.	Coordination meetings are routinely attended and active participation.	Participation in <u>no less than</u> 90% of requested meetings.	Periodic Inspection	TBD \$500.00 for each occurrence participation is requested but not provided less than AQL.	Quarterly
Throughout	Submittal of deliverables with requirements not otherwise specified.	Deliverables shall be timely, accurate, and contain all required information.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.2.4.1	The Contractor shall submit a Monthly Progress Report (MPR) to DOE not later than ten (10) business days following the end of each calendar month. The report shall provide the prior month’s performance for each Contract Line Item Number (CLIN) and an update of the performance to date.	Reporting shall be timely, accurate, and contain all required information.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Monthly
<u>**C.2.4.1</u>	As part of the monthly reporting process, the Contractor shall submit a monthly self-assessment report and certification statement <u>to DOE no later than (10) business days following the end of each calendar month</u> . The report and statement shall accurately assess the Contractor’s work performance for that period against applicable Contract requirements and performance standards. The statement shall be similar in format and content as the Government Quality Assurance Surveillance Plan (J-11), and shall address all activities performed during the period.	Assessment report and certification statement shall be timely, accurate, and include all activities performed during the period.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Monthly
C.2.4.2	The Contractor shall establish a routine weekly status/project integration meeting with DOE (and include other organizations and contractors as necessary) to review ongoing and future Contract	Coordination meetings are routinely planned, punctually attended, effectively presented and comprehensive of all issues of significance to DOE.	Participation in 90% of requested meetings 100%	Periodic Inspection	TBD \$500.00 for each occurrence that participation is not provided in	Monthly

	activities and issues.				<u>weekly coordination meeting.</u>	
C.2.4.3	The Contractor shall analyze proposed or directed funding changes for their impact on scope and schedule elements of the Contract, and shall advise DOE of any such impacts.	Response will <u>Responses/analyses shall</u> be timely, <u>comprehensive</u> , and accurate.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	TBD <u>\$500.00 for each occurrence analysis is requested but not provided in accordance with AQL</u>	TBD <u>Per occurrence</u>
C.2.6	The Contractor shall provide logistical planning, set-up support, and presentations for the annual DOE Science Alliance on site. The Contractor shall perform cleanup of the site following the event. The Contractor shall provide computer support to the DOE Science Bowl.	Support will be timely and effective.	Two <u>No more than zero</u> valid customer complaints <u>complaint</u> .	Periodic Inspection, Customer Feedback	TBD <u>\$500.00 for each occurrence support is requested but not provided in accordance with AQL</u>	Event driven, <u>per occurrence</u> .

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

** **EXAMPLE:** (This example also applies to other related sections of the document as applicable): The requirement for submittal of a ~~Worker Safety~~ monthly self-assessment report and ~~Health Program~~ certification statement in Section C.2.24.1 will be evaluated as follows: The submittal shall be submitted to the government within ~~60~~ 10 business days of NTP of the end of the calendar month., and shall ~~be compliant with the requirements of 10 CFR § 851-~~ accurately reflect the Contractor's work performance for that period. If these requirements are not met, then a \$500 deduction for each day the submittal is past its due date shall be applied to the Contractor payment. ~~The period of DOE review of the submittal will not be counted in calculated deduction.~~

3. Telecommunications

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Telecommunications**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.3.2.1	The Contractor shall develop and continue to support the development and implementation of a comprehensive future vision/end state for communication and information technology infrastructure optimization and consolidation plan(s) consistent with D&D activities on the site	Submittal(s) is of high quality, integrated with D&D planning, and timely.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
**C.3.3.2.2	The Contractor shall operate and maintain the Portsmouth site telephone switching system, transmission equipment, and ancillary equipment in a serviceable condition.	The Portsmouth site telecommunications system is available 24 hours per day, 7 days per week.	Two No more than two unscheduled interruptions of service.	Inspection	10% of applicable ELIN and \$5000.00 per day out of service above the AQL	Monthly
C.3.3.2.2	The Contractor shall provide for long distance service, voice messaging, fax machines, video/web conferencing services to DOE and site contractors.	Identified systems/services are available 24 hours per day, 7 days per week.	Two No more than two unscheduled interruptions of service.	Inspection	\$1000.00 per day out of service above the AQL	Monthly
C.3.3.2.2	Services provided to ACP shall be provided to obtain full cost recovery. The Contractor shall support DOE in invoicing of ACP for these services.	Information (statement of cost/price) supporting ACP invoicing is accepted as timely and accurate, support is timely and accurate.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$250.00 for each day submittal is past due date.	Monthly
C.3.3.2.1	The contractor shall submit a detailed report of voicemail usage (mailboxes, used space, free space) monthly.	The Contractor submittal includes all required information.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Monthly submittal review
C.3.3.2.3	The Contractor shall provide for Mobile Device Management (MDM) services and devices such as cell phones/smartphones/blackberry for itself and for the D&D contractor.	Identified systems/services within control of Contractor are available 24 hours per day, 7 days per week.	Two No more than two unscheduled interruptions of service.	Inspection	\$1000.00 per day out of service above the AQL	Monthly
C.3.3.2.4 And C.3.3.2.13	The Contractor shall provide reliable electronic notification service to individual personnel associated with the (PORTS) emergency response organizations. The Contractor shall maintain telecommunications services support at indicated.	The systems are operational 24 hours per day, 7 days per week.	No less than 95% operational.	Periodic and Random Inspection, Customer Feedback	15% of applicable ELIN	Monthly

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.3.2.8-9	The Contractor shall perform maintenance and repair of all installed data/communication lines up to and including the end user receptacle.	The Contractor makes repairs, in accordance with the approved Restoration Priority List, to the data/communication lines within the specified timeframe.	<u>No less than</u> 95% of inspected areas or <u>no more than</u> two valid customer complaints (monthly) Monthly).	Periodic and Random Inspection, Customer Feedback	5% of applicable ELIN	Monthly

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

**** EXAMPLE: (This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to operate and- maintain the Portsmouth site telephone switching system, transmission equipment, and ancillary equipment in a serviceable condition in section 3.3.2 will be evaluated as follows: The site telecommunications system is required to be operational 24 hours per day, 7 days per week. The AQL is two unscheduled interruptions of service per month. If the site telecommunications service has more than two unscheduled interruptions per month, 10% of the applicable ELIN will be deducted from Contractor payment and an addition \$5,000 per day of lost service will be deducted from the Contractor payment.

4. IT Support and Services

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Information Technology (IT) Support and Services**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.3.3.1	The Contractor shall provide equipment, professional and technical services to ensure secure, reliable, and continuous copier, printer, and scanner operation.	Print, copy, scan services will be available and operational. Equipment will shall be <u>maintained</u> clean and operational, meeting in accordance with customer needs.	<u>Not less than</u> 90% operational during normal business hours.	Periodic Inspection, Submittal review	5% of applicable ELIN	Quarterly
C.3.3.3.1	The Contractor shall provide reproduction services within the X-720 Records Facility to be furnished to all D&D project personnel including DOE and its support contractor personnel.	Reproduction services will be timely and of quality, free of missing pages, free of errors and illegible copies.	Two No more than two valid customer complaints (monthly, (Monthly)	Periodic Inspection, Customer Feedback	\$500.00 per complaint above the AQL	Quarterly
C.3.3.3.1	The Contractor shall provide for DOE, the onsite D&D contractor and subcontractors, ETS contractor and subcontractors and ISS contractor, equipment and services to ensure continuous copier, printer, and scanner operations for identified facilities.	The Contractor submits a detailed report of copier, printer and scanner page and consumables usage monthly.	Submittal contains 100% of requested information	Inspection, Review of Submittal(s)	5% of applicable ELIN	Monthly submittal review
C.3.3.3.2	The Contractor shall provide IT support and management services to ensure IT requirements are met through effective utilization of intranet, enterprise applications, and local systems and applications in a secure environment with minimal interruptions.	Identified systems/services within control of Contractor are available 24 hours per day, 7 days per week.	Two No more than two unscheduled interruptions of service.	Periodic Inspection, Submittal review	10% of applicable ELIN	Quarterly
C.3.3.3.1	The Contractor shall provide users with enterprise IT application deployment services to ensure applications can be effectively utilized.	The Contractor shall support designated application users to ensure deployed enterprise IT applications are usable and technical assistance is provided in a timely manner. The Contractor shall provide technical assistance to designated application users when requested to resolve all network, system, and equipment issues associated with the local utilization of deployed enterprise applications.	<u>No less than</u> 95% operational during normal business hours, Two and no more than two valid customer complaints (monthly, (Monthly)	Periodic Inspection, Submittal review, Customer Feedback	10% of applicable ELIN	Semi-annually

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.3.3.1	The Contractor shall perform maintenance to ensure local systems and applications operate properly and interruptions are minimized.	The Contractor shall provide 72 hours advance notice, including estimated downtime, to client organizations prior to performing scheduled system maintenance that would interrupt the availability of systems or applications. Emergency outages shall be coordinated with end users.	<u>No less than 90% operational during normal business hours.</u>	Periodic Inspection, Submittal review	10% of applicable ELIN	Quarterly
**C.3.3.3.2.10	The Contractor shall operate a help desk to ensure operational issues of local systems and applications are responded to and properly resolved.	The Contractor submits a Helpdesk Ticket Report (open, closed, average response time) <u>monthly as part of the Monthly Progress Report required in section C.2.4.1</u>	Submittal contains 100% of requested information.	Inspection, Submittal review	10% of applicable ELIN	Monthly submittal review
C.3.3.3.2	The Contractor shall provide application portfolio management services to ensure efficient and appropriate utilization of applications required licenses.	The Contractor submits a detailed report of site software and system licenses annually.	Submittal contains 100% of requested information.	Inspection, Submittal review	5% of applicable ELIN	Monthly submittal review
C.3.3.3.2	The Contractor shall provide all basic support to the DOE site network (which includes the ETS contractor) including, unpacking, installation, testing, and removal of PCs, printers, copiers and all associated consumables and related components; wiring; moving; and basic hands-on support. The Contractor shall coordinate this work with the PPPO Federal Help Desk.	Support requests are completed timely <u>within the timeframes specified in the applicable Service Level Agreements (SLA) established with each site customer.</u>	95% <u>No less than 95% of support requests completed within applicable SLA timeframe.</u>	Periodic Inspection, Submittal review	5% of applicable ELIN	Quarterly

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

**** EXAMPLE: (This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to operate the help desk in Section C.3.3 will be evaluated as follows: The Contractor is required to submit a monthly Helpdesk Ticket Report. The AQL is the submittal is on-time and contains all of the required information. If the report doesn't contain the required information, 10% of the applicable ELIN will be deducted from the Contractor payment.

5. Property Management Services

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Property Management Services**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
**C.3.4.1.1.2	The Contractor shall provide office relocation of Portsmouth site personnel.	The Contractor provides office relocation services within five business days of valid work request.	One <u>No more than one</u> valid customer complaint with relocation services.	Periodic Inspection, Customer Feedback	5% of applicable ELIN	Quarterly, or upon relocation request
C.3.4.1.1.3	The Contractor shall coordinate with the D&D contractor for response to data calls and provision of data needed to maintain FIMS; and related reporting for Infrastructure Support Services (ISS) assigned assets.	Accurate data is <u>are</u> provided to D&D contractor in sufficient time for input to the FIMS database in accordance with DOE O 430.1B and headquarters milestones.	<u>No less than</u> 95% of required data is <u>are</u> <u>timely</u> input to FIMS, <u>and no more than two</u> valid customer complaints.	Periodic and Random Inspection	5% of applicable ELIN	Quarterly
C.3.4.1.1.4	For the PORTS Annual Ten Year Site Plan (TYSP), the Contractor shall coordinate with the D&D contractor for response to data calls and provision of data needed for comprehensive plan development in accordance with DOE Order 430.1B (annual plan/update submittal).	Accurate and timely narrative and data is <u>are</u> provided to DOE/D&D contractor in development of the TYSP in accordance with DOE O 430.1B and headquarters milestones.	Submittal(s) <u>is</u> <u>timely</u> , contains 100% of requested information <u>and no more than one</u> valid customer complaint.	Inspection, Review of Submittal(s)	10% of applicable ELIN	Annual submittal(s) review
C.3.4.1.2	The Contractor shall perform high-risk property reviews for the D&D project including all property to be released from site control for any reason including transfer, sale, or disposal. These reviews shall include inspection of facilities prior to deactivation/demolition.	Property for excess or disposition is reviewed/screened in accordance with applicable DOE directives.	100% property reviews in accordance with applicable orders.	Periodic and Random Inspection	5% of applicable ELIN	Quarterly
C.3.4.1.3	The Contractor will coordinate with D&D contractor fleet management and provide data needed for required data calls and fleet reporting.	Accurate and timely data is provided to D&D contractor for ISS fleet vehicles	<u>No less than</u> 95% of vehicles data <u>are</u> timely and accurate.	Periodic Inspection	5% of applicable ELIN	Quarterly
C.3.4.1.3.1	The Contractor shall coordinate and provide the cleaning and delivery/return of GSA leased DOE site office passenger vehicles for maintenance to GSA approved vendors.	Requests are completed within 5 business days, assuming vendor availability.	100% requests competed <u>within 5 business days</u> .	Periodic Inspection	5% of applicable ELIN	Semi-annual

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

**** EXAMPLE- (This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to provide office relocation for Portsmouth site personnel in Section C.3.4.1.1.2 will be evaluated as follows: The Contractor is required to provide office relocation services in a timely manner. The Contractor or QAEs may receive customer complaints on the Contractor performance. The AQL is one valid customer complaint per month. If the Contractor or QAEs identify more than one valid customer complaint, 5% of the applicable ELIN will be deducted from the Contractor payment.

6. Maintenance of Buildings, Structures, Installed Equipment, and Furnishings

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Maintenance of Buildings, Structures, Installed Equipment, and Furnishings**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.4.2.3	The Contractor shall respond to work site time requirements by the applicable priority category for each Level II maintenance activity.	Work is performed in accordance with durations identified.	<u>No less than</u> 95% of work requests <u>meet work site time requirements</u> .	Periodic Inspection, Submittal review	5% of applicable ELIN	Quarterly
C.3.4.2.4	The Contractor shall operate and maintain the CMMS.	Identified information shall be included and entered into the CMMS system within specified timeframes, such that the CMMS is maintained accurate and current at all times.	<u>No less than</u> 90% of required <u>required</u> information <u>is entered</u> and <u>no less than 90% timeliness</u> durations <u>are met</u> .	Periodic and Random Inspection, Submittal review	\$500.00 for each failure above the AQL	Quarterly
C.3.4.2.6	The Contractor shall redline and update installation drawings and 'as-built' drawings to reflect any changes that result from work performed by the Contractor.	Drawings will be accurate and timely. Markups of drawings shall be performed within fifteen (15) business days after completion of the work that resulted in the change to the drawing(s). All drawings will be electronic CAD format. A record of all changes/additions to assigned buildings, structures, and related equipment and systems made by the Contractor shall be provided to records management within 30 calendar days of the completed work. The Contractor shall attach, link or reference the installation drawings and 'as-built' drawings in the CMMS for future reference.	<u>No less than</u> 95% of required information and durations met.	Periodic Inspection, Submittal review	5% of applicable ELIN	Quarterly
C.3.4.2.7	The Contractor shall submit to DOE a monthly maintenance report including and detailing all scheduled maintenance activity.	Report is accurate, comprehensive, and timely.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$250.00 for each day submittal is past due date.	Review of Submittal
C.3.4.3.1	The Contractor shall provide new or factory reconditioned parts and components when providing maintenance, repair, and minor improvements.	All maintenance activities use new or factory reconditioned parts and components. Unless otherwise approved by the COR.	100% of parts and components are new or factory refurbished.	Periodic and Random Inspection	\$500.00 for each failure.	Quarterly

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
**C.3.4.3.1	The Contractor shall notify the building occupants in writing in advance of any scheduled work to be performed in a facility that will tend to disrupt the conduct of normal business activities.	Notification to building occupants occurs at least two (2) business days prior to the disruption.	No less than 95% compliance or One and no more than one valid customer complaints (monthly complaint. (Monthly)	Periodic Inspection, Customer Feedback	\$500.00 for each failure above the AQL.	Semi- annual Annual
C.3.4.3.2	The Contractor shall develop a comprehensive PM program for assigned buildings, structures, and installed equipment.	The PM program is developed from applicable original equipment manufacturer manuals, inspection checklists, manufacturer's standards, industry standards, and commercial guides. The Contractor shall complete all identified repairs and provide all necessary services, parts, and materials as part of the PM.	No less than 95% of PM activities are derived from identified sources. No less than 95% of PM activities are completed as indicated.	Periodic Inspection	\$500.00 for each failure.	Quarterly
C.3.4.2.2	The Contractor shall perform LEVEL II Service Order work as defined in Section C.3.4.2.2	All work is performed in accordance with the service order. The Contractor shall complete all identified repairs and provide all necessary services, parts, and materials as required.	100% of work performed in accordance with service order and applicable requirements.	Periodic Inspection	10% of service order cost	Quarterly
C.3.4.3.4	All roofing systems for facilities shall be inspected, maintained, and repaired.	All maintenance and repairs shall be accomplished to ensure that the roofing systems remain as watertight assemblies, that water does not enter the interior of the building or the insulating layer, and that the water drains freely from the roof surface at all times. Damaged, deteriorated, or missing roofing, sheathing, flashing, gravel stops, miscellaneous roof structures and components, and structural supports shall be repaired or replaced as required to provide a watertight seal and to retain the original whole condition of the roof system.	100% of roofing appropriately maintained.	Periodic Inspection	5% of applicable ELIN	Quarterly
C.3.4.3.4	Building interiors including walls, trim, doors, flooring and accessories shall be maintained. Building exteriors including trim and accessories shall be maintained.	Maintained per C.3.4.3.4 requirements.	No less than 95% of area is properly maintained ;	Periodic Inspection	5% of applicable ELIN	Quarterly

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.4.3.4	The Contractor shall maintain plumbing systems and their associated components operable and in accordance with State and local plumbing codes.	Plumbing systems and fixtures shall be free flowing, in good, safe operating condition, and free of leaks and drips. All sinks, tubs, toilets, urinals, basins, and faucets, lavatories, showers, drain lines, and other plumbing, shall be free of leaks and drips, operate properly, drain freely, and be free of cracks	<u>No less than</u> 95% of plumbing fixtures are operable.	Periodic Inspection	5% of applicable ELIN	Quarterly
C.3.4.3.4	The Contractor shall operate and maintain operable all HVAC systems for assigned facilities.	HVAC systems listed in Attachment J-8 are repaired within a reasonable timeframe.	<u>No less than</u> 95% of HVAC systems are operational.	Periodic Inspection	5% of applicable ELIN	Quarterly
C.3.4.3.4	The Contractor shall operate and maintain operable active overhead and rolling door systems.	Overhead and rolling door systems listed in Attachment J-8 are repaired within a reasonable timeframe.	<u>No less than</u> 95% of overhead and rolling door systems are operational.	Periodic Inspection	5% of applicable ELIN	Quarterly
C.3.4.3.4	The Contractor shall operate and maintain operable active elevator systems.	Elevator systems listed in Attachment J-8 are repaired within a reasonable timeframe.	<u>No less than</u> 95% of elevator systems are operational.	Periodic Inspection	5% of applicable ELIN	Quarterly
C.3.4.3.4	The Contractor shall operate and maintain operable active refrigeration systems.	Refrigeration systems are repaired within a reasonable timeframe.	<u>No less than</u> 95% of refrigeration systems are operational.	Periodic Inspection	5% of applicable ELIN	Quarterly
C.3.4.3.4	The Contractor shall maintain lighting systems operable above minimum illumination level standards, and perform repairs and re-lamping in occupied designated facilities.	Lighting systems are operable and repaired within a reasonable timeframe such that no disruptions to normal business due to inadequate lighting occur.	<u>No less than</u> 95% of lighting fixtures are operational.	Periodic and Random Inspection	5% of applicable ELIN	Quarterly
C.3.4.3.4	The Contractor shall perform architectural and traffic signage maintenance, repair, replacement, and alterations such that all signage is maintained visible and effective.	Architectural and traffic signage are maintained in accordance with local, state, and federal DOT directives and regulations.	<u>No less than</u> 95% of signage is correctly posted and maintained.	Periodic and Random Inspection	5% of applicable ELIN	Quarterly
C.3.4.3.4	The Contractor shall perform security fence and wire cage maintenance such that the security barrier remains operable and able to fulfill its intended function, including repairs for locations described in Attachment J-8.	All gates/fences/cages are maintained operable, secure, and all hinges and locking devices kept in good working order	100% of security fence/gates properly maintained or adequately posted until repairs are made completed.	Periodic and Random Inspection	5% of applicable ELIN	Quarterly

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

**** EXAMPLE: (This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to notify the building occupants in writing in advance of any scheduled work to be performed in a facility that will tend to disrupt the conduct of normal business activities in Section C.3.5.3.1 will be evaluated as follows: The Contractor is required to notify the building occupants in writing two days in advance of any scheduled work that would disrupt normal business activities. The AQL is one valid customer complaint per month. If the Contractor or QAEs identify more than ~~one valid~~ **one valid** customer ~~complaints~~ **complaint**, \$500 for each additional complaint will be deducted from the Contractor payment.

7. Paved, Gravel and Earth Roads, and Yards

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Paved, Gravel and Earth Roads, and Yards**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.4.4.1	The Contractor shall inspect, schedule, maintain operable, and repair roadways, surfaced areas, and support facilities. This includes paved and unpaved roads, streets, parking lots, sidewalks, bridges, drainage systems and related areas, and associated structures and appurtenances at PORTS.	All roadways identified as the Contractor's responsibility to maintain shall be kept clear of fallen trees, limbs and storm debris as necessary. Overgrowth of trees, vines or bushes along roadways shall be kept trimmed away from the roadway in a manner that allows for normal passage of traffic and requisite clearance. Traffic control signs and traffic control devices shall be maintained on DOE roadways. Guardrails shall be maintained in good serviceable condition including any necessary coatings to prevent corrosion of the metal surfaces, including replacement if needed. As markings, signage, and devices are maintained/replaced, the Contractor shall implement consistent traffic control devices, markings, and signage throughout the site, including parking areas. The Contractor shall also be responsible for evaluation of, maintenance of, and alteration if needed, of safe and effective traffic flow/direction patterns in assigned parking facilities.	<u>No less than</u> 95% of area properly maintained.	Periodic and Random Inspection	15% of applicable ELIN	Quarterly
C.3.4.4.3.2	The Contractor shall utilize the CMMS to document deficiencies resulting from inspections.	All deficiencies are documented accurately and timely in CMMS such that the CMMS reflects the current roadway conditions.	<u>No less than</u> 90% of deficiencies documented in CMMS.	Periodic Inspection	\$500.00 for each failure above the AQL.	Semi-annual
C.3.4.4.3.3	The Contractor shall maintain and repair paved surfaces in accordance with the latest edition of the Ohio Standard Specifications for Road and Bridge Construction and the Ohio Manual of Uniform Traffic Control Devices (latest version).	Paved surfaces shall be maintained in accordance/compliance with the Ohio standard specifications and manual, including free of potholes (impacting safe roadway use for passenger vehicles) and with adequate striping to make the roadway boundaries readily visible at night. Paved surface maintenance includes patching of potholes (impacting safe use by passenger vehicles and pedestrians), placing and replacing parking blocks, resurfacing, marking, striping, sweeping and cleaning as necessary.	<u>No less than</u> 95% of paves surfaces roadspaved surface properly maintained.	Periodic and Random Inspection	15% of applicable ELIN	Quarterly

**C.3.4.4.3.4	The Contractor shall maintain and repair <u>unpaved surfaces, including</u> gravel surface roads and areas in accordance with the Ohio Standard Specifications for Roads.	Gravel roads and parking lots shall be maintained in accordance/compliance with the Ohio specifications, including regular grading sufficient to avoid large potholes and with sufficient gravel to make the road passable by passenger vehicles without the need for all wheel drive. Maintenance of unpaved roads and parking lots includes, but is not limited to, stabilization of road segments and maintaining proper drainage including sufficient crown and shoulder to prevent degradation of the road/lot.	<u>No less than 90% of unpaved -surfaces properly maintained.</u>	Periodic and Random Inspection	15% of applicable ELIN	Quarterly
C.3.4.4.3.3	During the month of May, the Contractor shall inspect all surfaced areas and related structures, and prepare an Inspection Report.	All areas are inspected and the inspection report accurately reflects the as-found condition, documents any issues found, and is performed/submitted during May of each year.	<u>100% areas inspected and no less than 90% of inspected areas documented in the Inspection Report.</u>	Inspection, Submittal Review	5% of applicable ELIN	Annual
C.3.4.4.3.4	During the month of May, the Contractor shall inspect all unpaved roads, parking areas and ancillary structures and prepare an Inspection Report.	All roads and areas are inspected and the inspection report accurately reflects the as-found condition, documents any issues found, and is performed/submitted during May of each year.	<u>No less than 90% of areas documented in the Inspection Report.</u>	Inspection, Submittal Review	5% of applicable ELIN	Annual
C.3.4.4.3.5	The Contractor shall perform vegetation control on areas adjacent to paved, gravel and earth roads, and yards.	Vegetation Control shall be performed and meet the requirements as specified in C.3.5.2, Grounds Maintenance.	<u>No less than 90% of inspected locations meet requirements.</u>	<u>Inspection, Submittal Review</u>	<u>5% of applicable ELIN</u>	<u>Quarterly</u>
C.3.4.4.3.5	The Contractor shall maintain the drainage systems associated with roads and grounds to include ditches and culverts. To maintain proper runoff, the Contractor shall inspect and repair plugged and/or damaged culverts, clean catch basins, culverts, inlet headwalls, and exits and similar structures on a regular schedule.	Drainage ditches shall be maintained clear of debris and obstacles in order to maintain proper drainage. Culverts shall remain clear of obstructions and maintained in a manner that precludes washouts. Culverts shall be replaced when they become structurally compromised or indication of a subsidence or sink hole is evident. The Contractor shall maintain proper drainage through appropriate vegetation control as described in Section C.3.5.2 Grounds Maintenance.	<u>95No less than 90% of inspected locations meet requirements.</u>	Periodic Inspection	15% of applicable ELIN	Quarterly
C.3.4.4.3.6	The Contractor shall inspect vehicular bridges in accordance with 23 § CFR 650.301, document the results, and provide the results in an inspection report submitted to DOE.	Inspection Inspections are thorough and performed in accordance with the requirements of 23 CFR § 650.301 bi-annually and documented with an Inspection Report.	Submittal contains 100% of requested information.	Periodic Inspection	15% of applicable ELIN	Annually
C.3.4.4.4	The Contractor shall perform LEVEL II Service Order work.	All work is performed in accordance with the service order.	100% of work performed in accordance with service order.	Periodic Inspection <u>50% inspection</u> of Level II service orders	10% of service order cost	TBD <u>Monthly</u>

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

**** EXAMPLE:-- (This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to ~~grade~~maintain unpaved ~~surfaces~~and gravel surface roads and areas in accordance with Section C.3.4.4.3.4 will be evaluated as follows: The Contractor is required to repair unpaved surfaces in accordance with the Ohio Standard Specifications for Roads. Gravel roads and parking lots shall be maintained with regular grading sufficient to avoid large potholes and with sufficient gravel to make the road passable by passenger vehicles without the need for all wheel drive. The AQL is for 90% of inspected areas to be properly maintained. A QAE will inspect a portion of the areas and if it is determined that 90% of the areas are not properly maintained, 15% of the applicable ELIN will be deducted from the Contractor payment.

8. Grounds-Erosion, Storm Damage Repair

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Grounds-Erosion, Storm Damage Repair**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
**C.3.4.5.1	The Contractor shall inspect and report areas of erosion that require repair. The Contractor shall perform seeding, strawing, topsoil backfill, rock placement (armoring), and/or application of erosion control matting in maintained areas in order to meet the applicable performance standard.	Areas of significant soil erosion are reported. Areas of significant soil erosion such as rutting, significant signs of soil loss, areas void of vegetation are repaired, timely.	<u>No less than</u> 90% of inspected locations meet requirements.	Periodic and Random Inspection	15% of applicable ELIN	Quarterly
C.3.4.5.3	The Contractor shall remove fallen trees and other debris from maintained facilities and areas to accommodate vehicle traffic, grounds maintenance, and other site operations.	Roads and grounds are free of trees and debris to maintain safe continuity of vehicle traffic and operations activities.	<u>No less than</u> 95% of inspected locations meet requirements <u>and no more than one valid customer complaint.</u>	Periodic and Random Inspection	15% of applicable ELIN	Monthly

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

**** EXAMPLE (This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to inspect and maintain areas of erosion requiring repair in accordance with Section C.3.4.5.1 will be evaluated as follows: The Contractor is required to inspect and repair areas of erosion in accordance with Section C.3.4.5.1. Areas shall be inspected and repaired such that they are maintained free of significant soil erosion such as rutting, free of significant soil loss, and not void of vegetation without repair. The AQL is for 90% of inspected areas to be properly maintained. A QAE will inspect a portion of the areas and if it is determined that 90% of the areas are not properly maintained, 15% of the applicable ELIN will be deducted from the Contractor payment.

9. Custodial Services

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Custodial Services**.

PWSWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.5.1.2	The Contractor shall purchase and use cleaning products containing recovered materials that are EPA-designated items to the greatest extent practicable.	Cleaning products are EPA-designated as containing recovered materials.	<u>No less than</u> 90% of inspected products are properly designated.	Periodic Inspection	\$100 for each failure above the AQL.	Quarterly
C.3.5.1.2	The Contractor shall post warning signs and barricades in areas of floor care operations, as appropriate, to ensure personnel safety.	Warning signs are posted when hazards are introduced by floor care operations.	100% of inspected areas contain appropriate signs.	Periodic Inspection	\$200 for each failure above the AQL.	Quarterly
C.3.5.1.3.1	The Contractor shall perform space cleaning in accordance with PWS.	The Contractor shall maintain the spaces clean, sanitary and sightly.	<u>No less than</u> 95% of inspected areas acceptable or <u>and no more than</u> two valid customer complaints (monthly) <u>(Monthly)</u>	Periodic Inspection, Customer Feedback	5% of applicable ELIN	Quarterly
C.3.5.1.3.2	The Contractor shall perform floor care in accordance with PWS.	The Contractor shall maintain the floors clean, sanitary and sightly.	<u>No less than</u> 95% of inspected areas acceptable or <u>and no more than</u> two valid customer complaints (monthly) <u>(Monthly)</u>	Periodic Inspection, Customer Feedback	5% of applicable ELIN	Quarterly
C.3.5.1.3.3	The Contractor shall perform break room area service in accordance with PWS.	The Contractor maintains serviced break rooms clean, sanitary, sightly and stocked with sufficient supplies, such as soap, paper towels, and similar items.	<u>No less than</u> 95% of inspected areas or <u>and no more than</u> two valid customer complaints (monthly) <u>(Monthly)</u>	Periodic Inspection, Customer Feedback	5% of applicable ELIN	Quarterly
C.3.5.1.3.4	The Contractor shall perform restroom services in accordance with PWS.	The Contractor maintains all restrooms clean, sanitary, sightly and stocked with sufficient supplies.	<u>No less than</u> 95% of inspected areas or <u>and no more than</u> two valid customer complaints (monthly) <u>(Monthly)</u>	Periodic Inspection, Customer Feedback	5% of applicable ELIN	Quarterly
C.3.5.4.3.5	The Contractor shall collect waste within assigned facilities and neatly deposit in designated collection dumpster(s).	Facility waste containers are emptied; waste is collected and deposited neatly into designated dumpster(s).	<u>No less than</u> 95% of inspected areas or <u>and no more than</u> two valid customer complaints (monthly) <u>(Monthly)</u>	Periodic Inspection, Customer Feedback	5% of applicable ELIN	Quarterly

**C.3.5.1.4	The Contractor shall perform LEVEL II Service Order work as defined in PWS.	Response to All work is performed in accordance with the service calls is timely and effectively responsive to call order.	95 100% of work performed in accordance with service order.	Periodic 50% Inspection; Customer Feedback of Level II service orders.	+10 % of applicable ELINservice order cost	TBD Monthly
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* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

**** EXAMPLE: ** EXAMPLE (This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to perform LEVEL II service order work in Section C.3.5.1.4 will be evaluated as follows: The Contractor is required to provide LEVEL II service order work. The AQL is for all work to be performed in accordance with the service order. A QAE will inspect a portion of the service order work. If it is determined the work was not performed in accordance with the service order, ~~+10~~% of ~~applicable ELIN~~the service order cost will be deducted from the Contractor payment (until such time the Government determines the work is completed in accordance with the service order-).

10. Grounds Maintenance

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Grounds Maintenance**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.5.2.2	Improved areas, service level 1 shall be maintained in accordance with Section C, mowing map, and J-8.C.3.5.2 Table 1.	Vegetation maintained and services provided consistent with Service Level 1.	<u>No less than</u> 95% of inspected areas maintained accordingly.	Periodic Inspection	5% of applicable ELIN	Monthly
C.3.5.2.2	Improved areas, service level 2 shall be maintained in accordance with Section C, mowing map, and J-8.C.3.5.2 Table 1.	Vegetation maintained and services provided consistent with Service Level 2.	<u>No less than</u> 95% of inspected areas maintained accordingly.	Periodic Inspection	5% of applicable ELIN	Monthly
C.3.5.2.2	Semi-improved areas shall be maintained in accordance with Section C, mowing map, and J-8.C.3.5.2 Table 1.	Vegetation maintained and services provided consistent with semi-improved areas.	<u>No less than</u> 95% of inspected areas maintained accordingly.	Periodic Inspection	5% of applicable ELIN	Monthly
C.3.5.2.2	The Contractor shall provide an access route to monitoring wells and ambient air monitoring stations.	A ten (10) foot radius circle with a vegetation height not to exceed six (6) inches around the groundwater wells shall be maintained and coordinated with the D&D contractor's sampling schedules. The Contractor shall maintain a mowed, debris free, pathway that is no less than three (3) feet wide and with a vegetation height not to exceed four (6) inches leading to the (air) monitors that provides safe walking access.	<u>No less than</u> 95% of inspected areas maintained accordingly.	Periodic Inspection, Records review	5% of applicable ELIN	Monthly
C.3.5.2.2	The Contractor shall perform grass and vegetation control along security fences.	Vegetation shall be controlled in accordance with applicable area and service level.	<u>No less than</u> 95% of inspected areas maintained accordingly.	Periodic and Random Inspection	5% of applicable ELIN	Quarterly
C.3.5.2.2	The Contractor shall maintain the outer boundary fence (X-208A) and provide brush control on both sides of the fence.	The fence shall be maintained clear of trees, brush and other vegetation such that no damage to the fence occurs. A cleared access route along the fence will be maintained at a width of 5 for its entire length.	<u>No less than</u> 95% of inspected areas maintained accordingly.	Periodic and Random Inspection	5% of applicable ELIN	Annually
C.3.5.2.2	The Contractor shall remove obstructions and control vegetation in above ground storm drainage systems to maintain continuous unrestricted flow of storm water runoff.	Vegetation shall be maintained accordingly. The Contractor shall control the height of vegetation to less than 30 inches in ditches where water regularly accumulates and it is impractical to enter with mowers on a regular basis including dry weather periods.	<u>No less than</u> 95% of inspected areas maintained accordingly.	Periodic and Random Inspection	5% of applicable ELIN	Quarterly

C.3.5.2.2	The Contractor shall maintain facility railroads free of vegetation to allow for safe and compliance rail operations.	Railroad vegetation is maintained accordingly.	<u>No less than 95%</u> of inspected areas maintained accordingly.	Periodic and Random Inspection	5% of applicable ELIN	Quarterly
C.3.5.2.2	Vegetation within 25 feet on either side of roadways through otherwise unmaintained areas will be mowed/trimmed.	Vegetation along roadways shall be maintained to a height of no more than 18 inches. Additional clearance beyond 25 feet shall be performed at intersections, turns, or other such areas such that safe/unobstructed traffic visibility is maintained.	<u>No less than 95%</u> of inspected areas maintained accordingly.	Periodic Inspection	5% of applicable ELIN	Monthly
C.3.5.2.2	Regulated Engineered Facilities. Mowing, maintenance, and repair requirements for these caps are delineated in the Integrated Surveillance and Maintenance Plan (DOE/PPPO/03-0084&D3). The Contractor shall perform mowing, repair, fertilization, monument maintenance, and pest control of these caps in strict compliance with the plan.	The caps shall not be damaged, including scalping of the vegetative cover, rutting, fertilizer burn, or other means. The Contractor shall prevent scalping, uneven mowing, or rutting by the equipment and shall not damage engineered caps. The Contractor shall consult and coordinate with the D&D contractor as necessary to prevent any potential damage during maintenance and mowing.	<u>No less than 95%</u> of inspected areas maintained accordingly.	Periodic and Random Inspection	5% of applicable ELIN	Monthly
** C.3.5.2.2	Stone/Gravel Areas. The Contractor shall maintain designated areas predominantly free of vegetation through trimming, mowing, and/or herbicide.	Gravel surface shall be visible and uncompacted for use, maintenance, and inspection by vegetation growth. Vegetation shall be maintained not taller than 12 inches, and shall be treated or trimmed.	<u>No less than 95%</u> of inspected areas maintained accordingly.	Periodic and Random Inspection	5% of applicable ELIN	Monthly
C.3.5.2.4.2.1	The Contractor shall remove any trash, paper, or other debris prior to mowing/cutting that detracts from the finished appearance of the area or present a safety hazard.	Trash is removed prior to mowing areas.	<u>No less than 95%</u> of inspected areas free of trash.	Periodic and Random Inspection	5% of applicable ELIN	Monthly
C.3.5.2.4.2.3	The Contractor shall trim grass/vegetation around utilities, fences, utility poles, lightning protection poles, guy wires, sign posts, fire hydrants, buildings, electrical structures, plastic and concrete jersey barriers, and parking lot bumpers.	Objects within the mowing areas shall be trimmed around in accordance with applicable standard.	<u>No less than 95%</u> of inspected areas are properly trimmed.	Periodic and Random Inspection	5% of applicable ELIN	Monthly
C.3.5.2.4.2.7	The Contractor shall remove or blow off grass clippings and leaves (not trash) deposited by the mowing operation from sidewalks, concrete porches, building aprons, streets, etc.	Clippings shall be properly removed following mowing activities.	<u>No less than 95%</u> of inspected areas have clippings properly removed.	Periodic and Random Inspection	5% of applicable ELIN	Monthly
C.3.5.2.1	The Contractor shall coordinate with the other site contractors prior to the performance of work activities that might impact their operations.	Mowing activities that may interfere with other contractor activities are coordinated effectively.	Two observed defect or -valid customer complaints (monthly) (Monthly)	Periodic Inspection, Customer Feedback	5% of applicable ELIN	Monthly

C.3.5.2.3	The Contractor shall prepare and submit annually a Mowing Plan, Mowing Map and Annual Mowing Schedule for review and approval by DOE. The Contractor shall provide a schedule of mowing activities.	Submittal is inclusive of all areas maintained.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
C.3.5.2.4.2.8	The Contractor shall perform seeding, strawing, topsoil backfill, armoring, and/or application of erosion control matting to repair areas of scalping, dead patches, and areas of evidence of soil erosion occurring in mowed areas. The Contractor will inspect and report areas of erosion that require repair.	Areas of erosion shall be reported. These areas shall be repaired to eliminate continued erosion and restore healthy grass cover.	<u>No less than 95%</u> of inspected areas maintained accordingly.	Periodic and Random Inspection, Records review	5% of applicable ELIN	Quarterly
C.3.5.2.5	The Contractor shall be responsible for maintaining all equipment, including government furnished equipment, required to implement the PWS.	Equipment shall be maintained in a safe serviceable condition, and in accordance with the manufacturer's recommendations for preventive and routine service. Corrective maintenance shall be performed as necessary to maintain the equipment in a safe and serviceable condition.	<u>No less than 90%</u> of inspected equipment maintained accordingly.	Periodic and Random Inspection, Records review	5% of applicable ELIN	Quarterly
C.3.5.2.6	The Contractor shall perform Level II Service Orders in accordance with the standards and requirements of this Contract.	All work shall be performed in accordance with the service order.	95 100% of work performed in accordance with service order.	Periodic 50% Inspection of Level II service orders.	4 10% of applicable ELIN service order cost	Monthly, per requested service

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

~~EXAMPLE:~~ EXAMPLE (This example also applies to other related sections of the document as applicable): The requirement for the Contractor to perform mowing/vegetation control in accordance with Section C.3.5.2.2.4 will be evaluated as follows: The Contractor is required to provide mowing/vegetation control. The AQL is for 95% of inspected areas to be properly maintained. A QAE will inspect a portion of the areas and if it is determined that 95% of the areas are not mowed or properly maintained, 5% of the applicable ELIN will be deducted from the Contractor payment.

11. Snow and Ice Prevention/Removal

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Snow and Ice Prevention/Removal**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.5.3.3	The Contractor shall annually prepare and submit a Snow and Ice Removal Plan for review and approval to the Government by August 30th.	The Snow and Ice Removal Plan includes all required information in C.3.5.3.3.	Submittal contains 100% of requested information.	Inspection, Review of Submittal(s)	\$500.00 for each day submittal is past due date.	Review of Submittal
**C.3.5.3.3	The Contractor shall remove snow and ice in a manner that does not create a safety hazard and does not obstruct sidewalks, streets, parked vehicles, fire hydrants, refuse dumpsters, obstacles (i.e., water valves, radiological areas, etc.), parking lot entrances, exits, or roadway intersections.	Snow/ice removal operations do not create safety hazards or obstruct identified items. Snow and ice removal operations shall result in safe conditions for all workers and employees needing access within or through the affected areas.	One No more than one observed defect or and no more than two valid customer complaints (monthly. (Monthly))	Periodic and Random Inspection, Customer Feedback	\$500.00 for each failure above the AQL.	Monthly
C.3.5.3.5.1	Non-Significant Weather Events: The Contractor shall treat and clear priority areas such that safe passage conditions for vehicle and pedestrian traffic are maintained.	Priority 1, 2, and 3 areas shall be free and clear within 4 hours of the completion of the weather event. Remaining areas shall be free and clear within 12 hours of event completion.	One No more than one observed defect or and no more than two valid customer complaints (monthly. (Monthly))	Periodic and Random Inspection, Customer Feedback	\$2,000.00 for each failure per event.	Monthly
C.3.5.3.5.2	Significant Weather Events: The Contractor shall treat and clear priority areas such that safe passage conditions for vehicle and pedestrian traffic are maintained.	Priority 1, 2, and 3 areas are free and clear within 8 hours of the completion of the weather event. Remaining areas are free and clear within 16 hours of event completion.	One No more than one observed defect or and no more than two valid customer complaints (monthly. (Monthly))	Periodic and Random Inspection, Customer Feedback	\$2,000.00 for each failure per event.	Monthly

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

** **EXAMPLE** ~~+~~ **(This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to ~~plow~~remove snow and ice in a manner that does not create a safety hazards in accordance with Section C.3.5.7-43.3 will be evaluated as follows: The Contractor is required to ~~plow~~remove snow and ice such that safety hazards are not introduced ~~or and to not~~ obstruct other objects. The AQL is one observed defect or valid customer complaint. A QAE will inspect a portion of the areas ~~plowed for~~of removed snow and/or ice and identify locations where the ~~plowing~~snow/ice removal was not performed properly. Also, the Contractor or QAE may receive complaints from other site contractors on the plowing method. The complaint will subsequently be determined to be valid or invalid. If it is determined that there is more than one observed defect or more than two valid customer complaints, \$500 for each failure above the AQL will be deducted from the Contractor payment.

12. Pest Control Services

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Pest Control Services**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.5.4.2	All work shall be performed by certified individuals.	Permit and license documentation shall be provided to DOE.	100% of personnel are certified.	Periodic Inspection	\$1,000.00 for each failure.	Annual
C.3.5.4.3	The Contractor shall maintain records of all pest control operations, including chemical, nonchemical, and surveillances performed.	Records shall be provided upon DOE request for inspection.	No less than 95% of pest control operations have appropriate records maintained.	Periodic Inspection	\$500.00 for each failure above the AQL.	Annual
**C.3.5.4.4	Labels and safety data sheets for each pesticide proposed to be used shall be submitted to the DOE for approval at least fourteen (14) calendar days prior to use.	The pesticide shall be approved by DOE for use prior to use by the Contractor.	100% of pesticides approved for use by the Government DOE at the time of inspection..	Periodic Inspection	\$1000.00 for each failure above the AQL.	Annual
C.3.5.4.4	All pesticides used by the Contractor shall be registered for the use intended.	Pesticides are registered with the EPA and State of Ohio for the intended use.	100% of pesticides are registered.	Periodic Inspection	\$2,000.00 for each failure.	Annual
C.3.5.4.4	All pesticides shall be used in strict conformance with label directions. The Contractor shall maintain a label book of pesticides used.	The Label book of pesticides shall be readily provided to the DOE upon request for inspection by the DOE.	100% of pesticides used are identified in the label book.	Periodic Inspection	\$2,000.00 for each failure.	Semi-annual
C.3.5.4.4	All pesticides, rinse water, and containers shall be disposed of in accordance with label directions. Pesticides, rinse water, and containers shall not be disposed of on the Portsmouth Gaseous Diffusion Plant site.	All pesticides, rinse water, and containers shall be disposed off-site.	100% items disposed of off-site.	Periodic Inspection	\$1,000.00 for each failure.	Annual
C.3.5.4.4	Pesticide spills shall be cleaned, decontaminated, and reported to the Government as required by the WSHP and applicable environmental standards.	Spills are cleaned, decontaminated, and reported in accordance with Contractor WSHP and applicable environmental standards.	100% -spills handled in accordance with Contractor WSHP.	Periodic and Random Inspection	\$1,000.00 for each failure.	Semi-annual
C.3.5.4.5	The Contractor shall provide pest control services for the control of ticks, ants, wasps, spiders, mice, rats, and any other pest native to the Portsmouth, Ohio area.	Areas are maintained free of infestations impacting personnel near buildings, portals, or field work.	Three No more than three valid customer complaints (monthly) (Monthly)	Periodic Inspection, Customer Feedback	TBD 5% of applicable ELIN.	Semi-annual
C.3.5.4.5	The Contractor shall provide the removal of nuisance animals. The Contractor shall remove all dead animals, as needed.	Nuisance animals and animal carcasses shall be removed in a timely manner. Removal actions shall occur within 3 customer requests.	Two No more than two observed defects or and no more than two valid customer complaints (monthly) (Monthly)	Periodic Inspection, Customer Feedback	5% of applicable ELIN	Semi-annual

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

**** EXAMPLE: ** EXAMPLE (This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to submit pesticide data sheets to the government for approval prior to use in accordance with Section C.3.5.94.4 will be evaluated as follows: The Contractor is required to submit pesticide data sheets for approval by the Government prior to use. The AQL is for all (100%) pesticides to be approved prior to use. A QAE will inspect pesticides in use and any pesticides found in use that have not been approved by the Government will result in \$500 being deducted from the Contractor payment for each occurrence.

13. Records Management and Document Control

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Records Management and Document Control**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.6.3	The Contractor shall prepare, revise, submit for DOE approval and execute an approved Records Management Plan.	The Records Management Plan is developed in accordance with 44 U.S.C. 21; 44 U.S.C. 29; 44 U.S.C. 31; 44 U.S.C. 33; 44 U.S.C. 36; 36 CFR Chapter XII, Subchapter B, <i>Records Management</i> ; DOE O 243.1B, <i>Records Management Program</i> .	Submittal contains 100% of requested information.	Inspection, Submittal Review	\$500.00 for each day submittal is past due date or not technically accurate and complete.	Review of Submittal
C.3.6.3	The Contractor shall train, and maintain current, all employees to the required skill level, including general records training for all Contractor/subcontractor staff (e.g., more in-depth training for RM staff, specific job related training for record custodians and general records training for all other employees).	All employees' have completed and are current on required records training. The record training is commensurate to the employees' job function.	No less than 95% of all employees have completed required records training.	Monthly Progress Report, Periodic and Random Inspections	5% of applicable ELIN	Monthly
C.3.6.3.1	The Contractor shall utilize an ERMS for the maintenance and disposition of all records (regardless of media), including electronic and email.	All records are managed in the ERMS regardless of media in accordance with requirements.	No less than 95% and no more than two valid customer complaints (monthly) . (Monthly)	Monthly Progress Report, Periodic and Random Inspections, Customer Feedback	10% of applicable ELIN	Monthly
C.3.6.3.1	The Contractor's Monthly Progress Report shall include: 1) Detailed report of monthly ERMS statistics that includes, but is not limited to, the number of folders, records (classified and unclassified), record types (email, electronic, photographs, paper, etc.) and quality assurance records that have been imported into the ERMS by DOE Records Disposition Schedule and number of users. 2) Detailed report documenting the volume of records reviewed, number of pages, issues/errors found and error rate. 3) Detailed report documenting the volume of records imported into ERMS (Documentum or Equivalent), number of pages, issues/errors found and error rate.	Required information is provided in Monthly Progress Report as required in Section C.2.4.1.	Deliverable provided per schedule and is technically accurate and complete.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
C.3.6.3.1	The Contractor shall ensure records are properly imported and stored in the ERMS within the appropriate schedule and folder(s).	The Contractor shall effectively apply ERMS quality control processes are in place for importing and submittal of records into the ERMS, including but not limited to proper schedule, scanning to required ppi, pages are rotated properly, security markings are applied, and images are clear and legible.	Less No more than 5% error rate and lessno more than than 5% backlog.	Monthly Progress Report, Periodic and Random Inspections	5% of applicable ELIN	Monthly

C.3.6.3.2	The Contractor shall develop and implement records management requirements for the creation, maintenance and storage of audiovisual records.	Audiovisual records are stored in accordance with 36 CFR § 1237 and 36 CFR § 1235.42 and all current National Archives and Records Administration (NARA) requirements/guidance.	<u>No less than</u> 95% compliance.	Monthly Progress Report (See C.3.6.3.1 Item 1), Periodic and Random Inspection,	5% of applicable ELIN	Monthly
C.3.6.3.3	The Contractor shall prepare, revise, submit for DOE approval, and execute an approved Vital Records Plan.	The Vital Records Plan is developed in accordance with 36 CFR § 1223, Managing Vital Records, and DOE O 243.1B, <i>Records Management Program</i> .	Submittal contains 100% of requested information.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Review of Submittal
C.3.6.3.3	The Contractor shall prepare, revise, and submit to DOE the Records Inventory.	The Records Inventory is developed and updated in accordance with 36 CFR § 1223, Managing Vital Records, and DOE O 243.1B, <i>Records Management Program</i> .	Submittal contains 100% of requested information.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete..	Annual
C.3.6.4.1	The Contractor shall incorporate recordkeeping controls into the electronic information system or export the records into the current ERMS. The Contractor shall design and implement migration strategies to counteract hardware and software dependencies of electronic records whenever the records must be maintained and used beyond the life of the information system in which the records are originally created and captured.	Electronic records are stored in accordance with 36 CFR 1236.	<u>No less than</u> 95% compliance or <u>and no more than</u> two valid customer complaints (monthly, (Monthly))	Monthly Progress Report, Periodic and Random Inspections, Customer Feedback	5% of applicable ELIN	Monthly
C.3.6.4.1	The Contractor shall provide a list of all Electronic Information Systems (EISs) to DOE annually utilizing the format provided by DOE.	List of EIS' are submitted on schedule and in format provided by DOE.	Submittal contains 100% of requested information.	Inspection, Submittal Review	\$500.00 for each failure.	Review of Submittal
C.3.6.4.2	The Contractor shall prepare, revise, submit for DOE approval, and execute an approved File Plan.	The File Plan is developed in accordance with 36 CFR Chapter XII Subchapter B and DOE O 243.1B <i>Records Management Program</i> and is included in the Contractor's Monthly Progress Report.	Submittal contains 100% of requested information.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Annual

C.3.6.4.2	The Contractor's Monthly Progress Report shall include: 1) Detailed report on site-wide inventories that includes, but is not limited to, the number of employees/subcontractors interviewed and record volumes by type (paper, electronic, etc.) 2) Detailed report on file plan revisions that includes, but is not limited to, new or discontinued disposition authorities.	Required information is provided in Monthly Progress Report as required in Section C.2.4.1	Deliverable provided per schedule and is technically accurate and complete.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
C.3.6.5	The Contractor shall ensure electronic records received from staff, contractors and subcontractors have been properly scanned, pages rotated, properly marked and are clear and legible and imported into the ERMS. Records obtained from DOE are scheduled, indexed and processed in paper format.	The Contractors QC process is implemented for scanned and imported records to ensure electronic records meet NARA requirements	Less No more than 3% backlog or no more than two valid customer complaints (monthly , (Monthly))	Monthly Progress Report, Periodic and Random Inspections, Customer Feedback	5% of applicable ELIN	Monthly
C.3.6.5.1	The Contractor shall ensure records identified as Quality Assurance (QA) records under American National Standards Institute (ANSI)/American Society of Mechanical Engineers (ASME) National Quality assurance (NQA)-1 are categorized (lifetime/non-permanent); managed in accordance with NQA-1 and 36 CFR Chapter XII, Subchapter B; and are maintained for traceability to the applicable item, activity or facility.	Records identified a quality are managed in accordance with NQA-1 and 36 CFR Chapter XII, Subchapter B; and are maintained traceable to the applicable item, activity or facility.	No less than 95% compliance or no more than two valid customer complaints (monthly , (Monthly))	Monthly Progress Report (also see C.3.6.3.1 Item 1), Periodic and Random Inspection, Customer Feedback	5% of applicable ELIN	Monthly
C.3.6.5.1	The Contractor's Monthly Progress Report shall include: Report of quality assurance records assigned to include record description (i.e., Instrument Calibration Records, Technical Qualification Records, etc.), DOE Records Disposition Authority, media and volume.	Required information is provided in Monthly Progress Report as required in Section C.2.4.1	Deliverable provided per schedule and is technically accurate and complete.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
**C.3.6.5.2	Records that contain personal information retrieved by name, or another personal identifier shall be maintained in Privacy Act Systems of Records.	The Contractor shall ensure records that are maintained in Privacy Act Systems of Records are managed and maintained in accordance with FAR 52.224-2, <i>Privacy Act</i> and DOE O 206.1, <i>DOE Privacy Program</i> , staff are properly trained, and records are properly identified.	100% compliance, Zero and no more than zero observed defects (breeches)breaches).	Monthly Progress Report, Periodic and Random Inspections, Customer Feedback	5% of applicable ELIN	Monthly
C.3.6.5.2	The Contractor's Monthly Progress Report shall include: Report of any breach of privacy information.	Required information is provided in Monthly Progress Report as required in Section C.2.4.1	Deliverable provided per schedule and is technically accurate and complete.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly

C.3.6.5.3	The Contractor shall protect and handle classified information and critical information in accordance with applicable laws, regulations, policies, and directives.	Classified records are handled in accordance with Section 3.3, <i>Safeguards and Security</i>	100% compliance; Zero and no more than zero observed defects. (incidents)	Monthly Progress Report (See C.3.6.3.1 Item 1), Periodic and Random Inspection,	5% of applicable ELIN	Monthly
C.3.6.5.4	The Contractor's Monthly Progress Report shall include: Detailed report of monthly statistics that includes, but is not limited to, number of requests received and processed by type (i.e., Freedom of Information Act (FOIA), Privacy Act, Litigation, DOE, internal, etc.), document page count (if applicable) and processing times for each.	Required information is provided in Monthly Progress Report as required in Section C.2.4.1	Deliverable provided per schedule and is technically accurate and complete.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
C.3.6.5.4	The Contractor shall respond to records management data calls by NARA and DOE as requested and process record requests for the Freedom of Information Act (FOIA), Privacy Act (PA), Energy Employees Occupational Illness Compensation Program Act, the former worker medical screening program, the Chronic Beryllium Disease Prevention Program, congressional inquiries, legal discoveries and other record requests.	Response to record request are completed as follows: <ul style="list-style-type: none"> • FIOA <=10 business days • PA <=10 business days • Litigation Requests <= 5 business days • Internal / DOE Requests <= 48 hours 	95% No more than 1% backlog and no more than one observed defect or no more than one valid customer complaint (monthly, (Monthly))	Inspection, Customer Feedback	10% of applicable ELIN	Monthly
C. 3.6.5.5	The Contractor shall maintain the CERCLA and RCRA Administrative Record and Information Repository.	The CERCLA and RCRA Administrative Record are maintained in accordance with applicable laws, regulations, policies and directives.	No less than 98%, or no more than one observed defects defect or no more than one valid customer complaint.	Monthly Progress Report, Periodic and Random Inspections, Customer Feedback	\$500.00 for each failure	Monthly
C.3.6.5.5	The Contractor's Monthly Progress Report shall include: Detailed report documenting the Administrative Record and Information Repository that includes, but is not limited to, the number of documents received, processed and processing times.	Required information is provided in Monthly Progress Report as required in Section C.2.4.1	Deliverable provided per schedule and is technically accurate and complete.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
C.3.6.5.6	The Contractor shall develop and submit to DOE a quarterly six-month forecast schedule for health physics/radiological survey support for site-wide records management activities.	Submittal includes forecast for health physics/radiological survey support.	Submittal contains 100% of requested information.	Inspection, Submittal Review	\$500.00 for each failure.	Semi-annual
C.3.6.5.6	The Contractor's Monthly Progress Report shall include: Detailed report on records management survey statistics that includes, but is not limited to, number of surveys conducted by organization and any backlog.	Required information is provided in Monthly Progress Report as required in Section C.2.4.1	Deliverable provided per schedule and is technically accurate and complete.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly

C.3.6.5.7	The Contractor shall ensure historical records <u>maintained</u> as required in Section C.3.6.5.7.	Historical paper records are organized, scheduled, indexed, boxed and dispositioned in accordance with federal laws and DOE regulations for proper preservation and efficient retrieval.	<u>No less than 95% and no more than one observed defect or two no more than one c valid customer complaintscomplaint.</u> (monthly)	Monthly Progress Report, Periodic and Random Inspections, Customer Feedback	10% of applicable ELIN	Monthly
C.3.6.5.7	The Contractor's Monthly Progress Report shall include: Detailed report on monthly statistics documenting annual progress for the above record types.	Required information is provided in Monthly Progress Report as required in Section C.2.4.1	Deliverable provided per schedule and is technically accurate and complete.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
C.3.6.6	The Contractor shall ensure proper DOE Records Disposition Schedule assigned, box, index, complete transfer paperwork, and obtain DOE Records Management Field Officer (RMFO) approval prior to sending transfer paperwork and/or shipping inactive temporary records to a FRC and/or permanent records to the NARA.	The Contractor ensures records are dispositioned per the assigned schedule.	<u>Less than 3% backlog</u> <u>No less than 98% and no more than one observed defect and no more than one valid customer complaint.</u>	Monthly Progress Report, Periodic and Random Inspections	5% of applicable ELIN	Monthly
C.3.6.6	The Contractor shall ensure records eligible for destruction are properly disposition in a timely manner once litigation moratorium is lifted.	The Contractor completes destruction certificate and submit to DOE RMFO for review and obtaining DOE Legal approvals prior to destruction.	<u>Less than 3% backlog</u> <u>No more than one observed defect and no more than one valid customer complaint.</u>	Monthly Progress Report, Periodic and Random Inspections, Customer Feedback	5% of applicable ELIN	Monthly
C.3.6.6	The Contractor shall develop and implement for DOE approval an approved Records Disposition Plan.	The Records Disposition Plan shall be developed in accordance with applicable DOE guidance.	Submittal contains 100% of requested information.	Inspection, Submittal Review	\$500.00 for each failure.	Review of Submittal
C.3.6.6	The Contractor's Monthly Progress Report shall include: Detailed report on monthly statistics on records disposition activities that includes, but is not limited to, records transferred to the FRC/NARA, records eligible for destruction, and number of boxes destroyed.	Required information is provided in Monthly Progress Report as required in Section C.2.4.1	Deliverable provided per schedule and is technically accurate and complete.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly

C.3.6.7	The Contractor shall develop, implement and maintain sound document control systems.	Processes shall ensure efficient tracking, retrieval, revision control and distribution of documents, including drawings.	No more than one observed defect or <u>no more than one</u> valid customer complaint.	Inspection, Customer Feedback	5% of applicable ELIN	Monthly
C.3.6.7	The Contractor's Monthly Progress Report shall include: Detailed report on document control activities that includes, but is not limited to, new documents, revisions, and retrievals by record type.	Required information is provided in Monthly Progress Report as required in Section C.2.4.1	Deliverable provided per schedule and is technically accurate and complete.	Inspection, Submittal Review	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

**** EXAMPLE: ** EXAMPLE (This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to properly maintain privacy act systems of records in accordance with Section C.3.6.5.2 will be evaluated as follows: The Contractor is required to properly maintain records containing personnel information. The AQL is for all (100%) privacy act records to be appropriately maintained. A QAE will inspect records and if any privacy act records are found not being maintained appropriately, ~~15~~5% of the applicable ELIN will be deducted from the Contractor payment.

14. Mail Services, Shipping and Receiving

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Mail Services, Shipping and Receiving**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
**C.3.7.1	The Contractor shall perform mail and classified mail services (pick-up and delivery, twice daily) from the local U.S. Post Office(s) and providing an on-site central location for U.S. Postal and inter-company mail pick-up and drop-off for DOE, ETS, and D&D Project contractors and subcontractors. Certified mail shall be tracked to ensure document delivery to intended recipient.	Mail pick-up and delivery is performed timely, as indicated. Mail is not lost or damaged. Certified mail is tracked to ensure delivery without lost or delayed delivery	One No more than two one observed defect or defects and no more than two valid customer complaint (monthly) complaints. (Monthly)	Inspection, Customer Feedback	\$500.00 for each failure above the AQL	Quarterly
C.3.7.2.1	The Contractor shall administer and operate the shipping and receiving loading dock in the X-720 facility. The facility shall be staffed during normal business hours as established in Section F.5.	The shipping and receiving facility is operated and shipping and receiving services are effectively performed during normal business hours Materials shall be received at the loading dock. Visual inspection and verification of numbers and quantities shall be performed. Bills of Lading shall be entered into the site shared database. D&D BOLs are forwarded to the D&D Contractor. The Contractor shall assist purchasing contractor in resolving discrepancies and/or administrative errors.	Two No more than two observed defects or and no more than two valid customer complaints (monthly, (Monthly)	Inspection, Customer Feedback	\$500.00 for each failure above the AQL	Quarterly
C.3.7.2.1	Materials received shall be stored in appropriate locations as necessary to preserve the quality of the material. Items shall be secured such that theft or misappropriation does not occur. The loading dock and material storage areas shall be appropriately secured when not attended by Contractor personnel.	Materials shall be properly stored such that there is no storage/environmental-related quality degradation. Materials/Loading dock shall be properly secured such that there are no incidents of theft or tampering with stored materials.	Two No more than two observed defects or and no more than two valid customer complaints (monthly, (Monthly)	Inspection, Customer Feedback	\$500.00 for each failure above the AQL	Quarterly
C.3.7.2.2	Materials received at the loading dock by the Contractor shall be verified and delivered (as needed) to the location designated by the purchasing contractor.	The Contractor shall notify the purchasing contractor as soon as practicable that the material has been received and ready for quality inspection. Transport and inspection shall be coordinated with the D&D contractor. The materials shall be delivered as soon as practicable following receipt such that no adverse impact occurs to the performance of the purchasing entity.	Two No more than two observed defects or and no more than two valid customer complaints (monthly, (Monthly)	Inspection, Customer Feedback	\$500.00 for each failure above the AQL	Quarterly

C.3.7.2.2	The Contractor shall provide or ensure compliant security escorting of materials deliveries to the recipient contractor.	Contractor will effectively coordinate activities with D&D contractor to ensure compliant escorting of materials while in secured areas.	No observed defect <u>defects</u> .	Inspection,	\$500.00 for each failure above the AQL	Quarterly
C.3.7.2.3	The Contractor shall coordinate and perform shipping services utilizing commercial carriers. The Contractor shall receive materials packaged appropriately for shipment via commercial carrier at the loading dock area. The Contractor shall coordinate each shipment and maintain all paperwork and tracking numbers associated with the shipment with the appropriate shipping service agency. (Excludes D&D contractor waste shipments)	The Contractor shall effectively coordinate DOE and DOE contractor commercial carrier shipments. The Contractor shall accurately maintain all paperwork, tracking numbers, and verify shipments were completed successfully via the applicable shipping service agency.	Two No more than <u>two</u> observed defects or <u>and no more than two</u> valid customer complaints (monthly, <u>(Monthly)</u>	Inspection, Customer Feedback	\$500.00 for each failure above the AQL	Quarterly

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

**** EXAMPLE (This example also applies to other related sections of the document as applicable):** ~~* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.~~

**** EXAMPLE:** The requirement for the Contractor to collect and sort for pick-up inter-organizational and U.S. mail in accordance with Section C.3.7.1 will be evaluated as follows: The Contractor shall pick up US Mail twice daily and deliver to X-720. The AQL is one observed ~~defects~~defect or valid customer ~~complaints~~complaint. A QAE will monitor the mail collection and sorting. Also, the Contractor or QAE may receive complaints from other site contractors on the mail collection. The complaint will subsequently be determined to be valid or invalid. If it is determined that there is more than ~~one~~two observed defects or more than two valid customer complaints, \$500 for each failure above the AQL will be deducted from the Contractor payment.

15. Environmental Information Center Operations

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Environmental Information Center Operations**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
**C.3.8	Staff the Environmental Information Center (EIC) such that the information it contains is accessible to the public during the hours of 9:00AM until 12:00PM, Mondays and Tuesdays and 12:00 PM until 4:00PM Wednesdays and Thursdays. Reasonable after-hours appointments shall be readily available.	The EIC and information repository is accessible to the public during the specified periods.	EIC shall be accessible to the public 98 ¹⁰⁰ % for the times listed and no valid customer complaints.	Periodic inspection, public or customer complaint.	\$500.00 for each failure.	Quarterly
C.3.8	The Contractor shall provide the following EIC features: Americans with Disabilities Act (ADA) Accessibility Compliance, Free Copies of Documents to the public (per C.3.8), Public Use Reading Room, Public Use Computer Systems, and Public Searchable Document Index.	The features specified in C.3.8 shall be provided without exception during EIC public access hours.	Two ^{No more than two} observed defects or and no more than two valid customer complaints, (monthly)	Inspection, Customer Feedback	\$500.00 for each additional failure above the AQL.	Quarterly
C.3.8	The Contractor shall transfer documents provided to the Contractor to a searchable electronic system, which shall be accessible on the internet by the general public.	All documents provided to the Contractor are transferred by the Contractor to the searchable electronic system. Internet website public access is maintained to the EIC electronic files in the AR, Post Decision (PD), and General Reference Compendium (GRC).	Two ^{No more than two} observed defects or and no more than two valid customer complaints, (monthly)	Inspection, Customer Feedback	\$500.00 for each additional failure above the AQL.	Quarterly
C.3.8.	The Contractor shall develop, manage and maintain the DOE EIC Online Document Repository. Documents provided to the Contractor from the DOE or other site contractors shall be included in the EIC.	All documents provided to the Contractor shall be accessible by the general public. Hard copy of selected documents which are not available on the website is maintained. Documents provided to the EIC are available, complete and legible at the EIC.	No less than 95% of documents are complete and legible.	Inspection, Customer Feedback	\$ 1,000.00 for each additional failure above the AQL.	Quarterly

~~* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.~~

~~** EXAMPLE: * Surveillance Frequency may change depending on scope and circumstances as determined by the Government.~~

**** EXAMPLE (This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to staff the EIC and make accessible to the public all information included there shall be -in accordance with Section C.3.8 and be evaluated as follows: The Contractor shall ensure the EIC and information repository is accessible to the public during the specified periods in Section C.3.8. Exception(s) shall only be during periods where staffing the EIC would be considered hazardous based on site conditions, and shall require DOE notification as soon as practicable regarding each occurrence. The AQL is the EIC shall be accessible 100% of the times specified as determined by periodic inspection or valid public/customer complaint. A QAE will monitor the EIC accessibility. Also, the

Contractor or QAE may receive complaints from other site contractors on the accessibility of the EIC. The complaint will subsequently be determined to be valid or invalid. If it is determined that there is a valid customer complaint, \$500 for each failure above the AQL will be deducted from the Contractor payment.

16. Training Services

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Training Services**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.9.2	The Contractor shall provide the delivery of the training courses listed in Attachment J-8.C.3.9.	Training qualification records and site access cards are provided in a timely manner.	Two No more than two observed defects per month	Periodic Inspection	\$500.00 for each additional failure above the AQL.	Quarterly
C.3.9.3	The Contractor shall provide the training courses to ensure compliance with applicable environmental health and safety laws and regulations.	Training course content includes needed material and frequency adequate for compliance with environmental health and safety laws.	Two No more than two observed defects or and no more than two valid customer complaints, (monthly) Monthly	Customer feedback, Periodic Inspection	\$1000.00 for each additional failure above the AQL.	Semi-annual
C.3.9.3	Training classes will be coordinated with other site contractors and tailored to the PORTS site activities.	Training courses are tailored to PORTS activities.	Two No more than two observed defects or and no more than two valid customer complaints, (monthly) Monthly	Training Assessment, Customer feedback, Periodic Inspection	\$1000.00 for each additional failure above the AQL.	Semi-annual
C.3.9.3	The Contractor shall coordinate with other site contractors to consolidate training modules, where practicable. The Contractor shall review course content quarterly, and revise/update as necessary to meet current requirements and site conditions.	Training courses are consolidated where practicable and revised as needed to meet current requirements.	Submittal contains 100% of requested information.	Training Assessment, Customer feedback, Periodic Inspection	\$500.00 for each failure	Annually
C.3.9.4	The Contractor shall coordinate with other site contractors and develop a training schedule for site specific courses listed in Section C.3.9.2 that ensures appropriate and required training services are available to maintain compliance with general site access.	Provided schedule has been coordinated with other site contractors, includes all training courses listed in Section C.3.9.2, and provides level of training services sufficient to ensure general site access is maintained and compliant.	Submittal contains 100% of requested information.	Inspection, Submittal review	\$500.00 for each failure	Review of the submittal
**C.3.9.4	Personnel (with the exception of the D&D contractor, ETS contractor, and DOE personnel) are notified of pending training needs prior to expiration of requisite training certifications.	Personnel are notified 30 calendar days prior to expiration of training.	Two No more than two observed defects or and no more than two valid customer complaints, (monthly) Monthly	Customer feedback, Periodic Inspection	\$500.00 for each additional failure above the AQL.	Quarterly
C.3.9.4	Companies are notified their employee has not completed the requisite training and is to be placed on restrictions	Companies are notified of a training non-compliance upon individual not completing	Two No more than two observed	Customer feedback, Periodic Inspection	\$500.00 for each additional failure	Quarterly

	from general site access.	the requisite training by the required completion date.	defects or <u>and no more than two</u> valid customer complaints, (monthly) <u>Monthly</u>		above the AQL.	
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* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

**** EXAMPLE: ** EXAMPLE (This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to notify personnel of pending training needs in accordance with Section C.3.9.4 will be evaluated as follows: The Contractor shall notify personnel 30 calendar days prior to the expiration date of any of their training ~~expiring~~. The AQL is two observed defects or valid customer complaints. A QAE may inspect the training system. Also, the Contractor or QAE may receive complaints from other site contractors. The complaint will subsequently be determined to be valid or invalid. If it is determined that there is more than two observed defects or more than two valid customer complaints, \$500 for each failure above the AQL will be deducted from the Contractor payment.

17. Safeguards and Security

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Safeguards and Security**. Stated deductions will be applicable and will commence at the time the deficiencies are identified (i.e., the date of the finding) and will continue monthly until the corrective actions are satisfactorily implemented (i.e., demonstrated by closure of the finding and subsequent validation by DOE).

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.3.1	Program Management Operations in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are Satisfactory or higher.	Satisfactory Rating	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable ELIN until corrective action has been satisfactorily implemented (as demonstrated by DOE validation).	Monthly
C.3.3.1	Program Management Operations in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4 – List of Deliverables for Section C.3.3.1 and subsections.	Deliverables provided per schedule and technically accurate and complete.	Review, approval and/or concurrence of deliverables	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
C.3.3.2	Protective Force in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are Satisfactory or higher.	Satisfactory Rating	DOE Surveys, DOE Assessments, and/or DOE Surveillances	1% of applicable ELIN until corrective action has been satisfactorily implemented (as demonstrated by DOE validation).	Monthly
C.3.3.2	Protective Force in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4 – List of Deliverables for Section C.3.3.2 and subsections.	Deliverables provided per schedule and technically accurate and complete.	Review, approval and/or concurrence of deliverables	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
C.3.3.3	Physical Protection in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are Satisfactory or higher.	Satisfactory Rating	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable ELIN until corrective action has been satisfactorily implemented (as demonstrated by DOE validation).	Monthly
C.3.3.3	Physical Protection in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4 – List of Deliverables for Section C.3.3.3 and subsections.	Deliverables provided per schedule and technically accurate and complete.	Review, approval and/or concurrence of deliverables	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly

C.3.3.4	Information Security in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are Satisfactory or higher.	Satisfactory Rating	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable ELIN until corrective action has been satisfactorily implemented (as demonstrated by DOE validation).	Monthly
C.3.3.4	Information Security in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4 – List of Deliverables for Section C.3.3.4 and subsections.	Deliverable provided per schedule and is technically accurate and complete.	Review, approval and/or concurrence of deliverables	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
**C.3.3.5	Personnel Security in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are Satisfactory or higher.	Satisfactory Rating	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable ELIN until corrective action has been satisfactorily implemented (as demonstrated by DOE validation).	Monthly
C.3.3.5	Personnel Security in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4 – List of Deliverables for Section C.3.3.5 and subsections.	Deliverable provided per schedule and is technically accurate and complete.	Review, approval and/or concurrence of deliverables	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
C.3.3.6	Material Controls & Accountability in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are Satisfactory or higher.	Satisfactory Rating	DOE Surveys, DOE Assessments, and/or DOE Surveillances	1% of applicable ELIN until corrective action has been satisfactorily implemented (as demonstrated by DOE validation).	Monthly
C.3.3.6	Material Controls & Accountability in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4 – List of Deliverables for Section C.3.3.6 and subsections.	Deliverable provided per schedule and is technically accurate and complete.	Review, approval and/or concurrence of deliverables	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
C.3.3.7	Foreign Visits & Assignments in accordance with Security Program requirements as defined in the Contract.	Ratings from DOE surveys, assessments, and/or surveillances are Satisfactory or higher.	Satisfactory Rating	DOE Surveys, DOE Assessments, and/or DOE Surveillances	10% of applicable ELIN until corrective action has been satisfactorily implemented (as demonstrated by DOE validation).	Monthly

C.3.3.7	Foreign Visits & Assignments in accordance with Security Program requirements as defined in the Contract.	Deliverables contain required information listed in Attachment J-4 – List of Deliverables for Section C.3.3.7 and subsections.	Deliverable provided per schedule and is technically accurate and complete.	Review, approval and/or concurrence of deliverables	\$500.00 for each business day deliverable is past the due date or not technically accurate and complete.	Monthly
Other Factors:		Deduction (Impact on Contractor Payments)				
***Security Enforcement Action		100% of applicable ELIN 1 Month and 50% of applicable ELIN for each month thereafter until the Corrective Action Plan is complete and all actions closed.				
Other Security Items as Deemed by the Secretary of Energy or Assistant Secretary		100% of applicable ELIN				

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

** **EXAMPLE (This example also applies to other related sections of the document as applicable):** The requirement for the Contractor to maintain Personnel Security in accordance with Section C.3.3.5 will be evaluated as follows: The Contractor shall undergo DOE surveys, assessments, and surveillances. The AQL is to maintain a satisfactory rating for the surveys, assessments, or surveillance. If the ratings from these surveys, assessments, or surveillances are below satisfactory, 10% of the ELIN will be deducted from the Contractor payment each month until outstanding corrective actions are resolved.

*** **A violation of the provisions of the CRD relating to the safeguarding or security of Restricted Data or other classified information may result in an additional civil penalty pursuant to subsection a of section 234B of the Atomic Energy Act (42 U.S.C. Section 2282b). The procedures for the assessment of civil penalties are set forth in Title 10, CFR, Part 824, *Procedural Rules for the Assessment of Civil Penalties for Classified Information Security Violations*.**

18. Cyber Security

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Cyber Security**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency*
C.3.4.1.1	The Contractor shall submit a detailed report of Cyber Security Incidents monthly.	The monthly progress report includes a detailed report of Cyber Security Incidents.	Submittal contains 100% of requested information.	100% Inspection of deliverable	5% of applicable ELIN	Monthly
**C.3.4.1.1	The Contractor shall submit a detailed report of all controlled article passes issued.	The monthly progress report includes a detailed report of all controlled article passes issued.	Submittal contains 100% of requested information.	100% Inspection of deliverable	5% of applicable ELIN	Monthly
C.3.4.1.2	The Contractor shall comply with the Cyber Security requirements as specified in DOE O 205.1B, <i>Department of Energy Cyber Security Program</i> , the applicable DOE Risk Management Approach Implementation Plan (RMAIP), all current versions of applicable NIST Special Publications (SP) and the Committee on National Security Systems (CNSS) 1253.	Cyber security requirements from identified sources are implemented.	<u>No less than</u> 95% of applicable requirements met	100% Inspection of deliverable	15% of applicable ELIN	Annual
C.3.4.1.3	The Contractor shall develop, implement and maintain a System Security Plan consistent with the Site Security Plan, to be coordinated with the other Portsmouth site contractors and submit System Security Plan annually.	The System Security Plan is compliant with the requirements of DOE O 205.1B.	Submittal contains 100% of requested information.	100% Inspection of deliverable	10% of applicable ELIN	Annual
C.3.4.1.3	The Contractor shall Complete a 100% Cyber Security self-assessment annually.	The Cyber Security Assessment accurately reflects the requirements of the current revision of NIST SP 800-53.	Assessment covers 100% of recommended topics.	100% Inspection of deliverable	15% of applicable ELIN	Annual
C.3.4.1.5	All Cyber Security and IT personnel who have Incident Response (IR) and Contingency Planning (CP) responsibilities shall have a DOE Q clearance. Section J, Attachment J-8.C.2.1.	All required personnel possess a DOE Q clearance.	100% of required personnel have DOE Q clearance.	Periodic Inspection	\$1,000.00 for each failure.	Annual

* Surveillance Frequency may change depending on scope and circumstances as determined by the Government.

**** EXAMPLE: ** EXAMPLE (This example also applies to other related sections of the document as applicable):** The requirement for a controlled article pass submittal in accordance with Section C.3.4.1.1 will be evaluated as follows: The submittal shall be submitted to the government monthly. The AQL is for the submittal to contain all the requested information. The Government or a QAE will review the submittal for the required information. If it is determined that the submittal does not contain all the required information, 5% of the applicable ELIN will be deducted from the Contractor payment.

19. Contract Closeout

The following table provides the performance standards, AQLs and surveillance methods pertaining to **Contract Closeout**.

PWS Section	Requirement	Performance Standard	Acceptable Quality Level (AQL)	Surveillance Method	Deduction (Impact on Contractor Payments)	Surveillance Frequency
C.3.11	The Contractor shall provide all necessary support for a smooth Contract transition at the end of the Contract period.	The Contractor provides support for andan effective and efficient transition and closeout of the Contract.	100%	Customer Feedback, Inspection.	Associated values for contract remedies	At transition through contract closeout
C.3.11	Six (6) months prior to the expiration of the Contract period (upon CO direction), the Contractor shall submit a Contract Close-out Plan to DOE for review and approval.	The Contract Close-out Plan includes all remaining administrative matters necessary to effectively and efficiently closeout the Contract.	Submittal contains 100% of requested information.	100% Inspection	Associated values for contract remedies	At contract closeout

APPENDIX B: CONTRACTOR EVALUATION REPORT

CONTRACTOR EVALUATION REPORT			1. EVALUATION REPORT NUMBER
2. TO: <i>(Contractor and Manager Name)</i>		3. FROM: <i>(Name of COR)</i>	
DATES			
PREPARED	ORAL NOTIFICATION	RETURNED BY CONTRACTOR	ACTION COMPLETE
4. EVALUATION ISSUE <i>(Describe in Detail. Include PWS references. Attach Continuation Sheet if Necessary.)</i>			
5. SIGNATURE OF COR			
6. TO: <i>(Name of COR)</i>		7. FROM: <i>(Contractor)</i>	
8. CONTRACTOR RESPONSE AS TO CAUSE, EFFECT, CORRECTIVE ACTION AND ACTIONS TO PREVENT RECURRENCE. <i>(Attach Continuation Sheet if necessary. Cite applicable Contractor QC program procedures or new QC procedures.)</i>			
9. SIGNATURE OF CONTRACTOR REPRESENTATIVE		10. DATE	
11. GOVERNMENT EVALUATION <i>(Acceptance, partial acceptance, or rejection. Attach Coordination Sheet if necessary.)</i>			
12. GOVERNMENT ACTIONS <i>(Cure notice, show cause, other.)</i>			
CLOSE OUT			
CONTRACTOR NOTIFIED	NAME AND TITLE	SIGNATURE	DATE
QAE			
COR			

APPENDIX C:
CUSTOMER FEEDBACK RECORD

CUSTOMER FEEDBACK RECORD	
DATE AND TIME OF FEEDBACK	
SOURCE OF FEEDBACK	
ORGANIZATION	
INDIVIDUAL	
NATURE OF FEEDBACK	
PWS REFERENCE	
VALIDATION	
DATE AND TIME SERVICE PROVIDER INFORMED OF FEEDBACK	NAME OF Contractor REPRESENTATIVE INFORMED OF FEEDBACK
ACTION TAKEN BY SERVICE PROVIDER (<i>Responsible officer</i>)	
RECEIVED AND VALIDATED BY	
Determination: Complaint Valid <input type="checkbox"/> Complaint Invalid <input type="checkbox"/>	